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# Cross Sectoral Guide

Sustainable Landscapes &  
Democracy, Human Rights,  
and Governance



# ACKNOWLEDGMENTS

**On the cover:** Mitigating climate change and strengthening democracy, government effectiveness, and human rights are among the most important global development objectives.

Left photo by Sandra Coburn / The Cloudburst Group

Right photo by Mohamed Abdullah Adan / USAID

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# Abbreviations

<b>CARPE</b>	Central Africa Regional Program for the Environment
<b>CBC</b>	Community-Based Conservation
<b>CBNRM</b>	Community-Based Natural Resources Management
<b>CDCS</b>	Country Development Cooperation Strategy
<b>CBF</b>	Community-Based Forestry
<b>CF</b>	Community Forestry
<b>CFC</b>	Community Forestry Concessions
<b>CFUG</b>	Community Forest User Group
<b>CIFOR</b>	Center for International Forestry Research
<b>CLA</b>	Collaborating, Learning, and Adapting
<b>COR</b>	Contracting Officer's Representative
<b>CSO</b>	Civil Society Organization
<b>C/RDCS</b>	Country or Regional Development Cooperation Strategy
<b>DRC</b>	Democratic Republic of Congo
<b>DRG</b>	Democracy, Human Rights, and Governance
<b>E3/GCC</b>	USAID E3 Global Climate Change
<b>ECOWAS</b>	Economic Community of West African States
<b>FCMC</b>	Forest Carbon Markets and Communities
<b>FECOFUN</b>	Federation of Community Forestry Users
<b>FIFES</b>	Forest Incomes for Environmental Sustainability
<b>FLARE</b>	Forests & Livelihoods: Assessment, Research, and Engagement
<b>FPIC</b>	Free, Prior, and Informed Consent
<b>FSN</b>	Foreign Service National
<b>GCC</b>	Global Climate Change
<b>GESI</b>	Gender Equality and Social Inclusion
<b>GHG</b>	Greenhouse Gas
<b>HRBA</b>	Human Rights-Based Approach
<b>IAPRI</b>	Indaba Agricultural Policy Research Institute
<b>IFRI</b>	International Forest Resources and Institutions
<b>ICRAF</b>	World Agroforestry Centre



<b>LED</b>	Low Emissions Development
<b>MCC</b>	Millennium Challenge Corporation
<b>MEL</b>	Monitoring, Evaluation, and Learning
<b>MIL</b>	Standard Foreign Assistance Master Indicator List
<b>MRV</b>	Monitoring, Reporting, and Verification
<b>NCS</b>	Natural Climate Solutions
<b>NDC</b>	Nationally Determined Contributions
<b>NGO</b>	Non-Governmental Organization
<b>NRGT</b>	Natural Resource Governance Tool
<b>NRM</b>	Natural Resource Management
<b>NWP</b>	Nature, Wealth, and Power
<b>PES</b>	Payment for Ecosystem Services
<b>PEA</b>	Political Economy Analysis
<b>PITA</b>	Participation, Inclusion, Transparency, and Accountability
<b>RECOFTC</b>	The Center for People and Forests
<b>REDD+</b>	Reduce Emissions from Deforestation and Forest Degradation and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks
<b>REFACOF</b>	African Women's Network for Community Management of Forests
<b>SDG</b>	Sustainable Development Goals
<b>SES</b>	Social and Environmental Soundness
<b>SL</b>	Sustainable Landscapes
<b>SO</b>	Strategic Objective
<b>TGCC</b>	Tenure and Global Climate Change
<b>TOC</b>	Theory of Change
<b>TWP</b>	Thinking and Working Politically
<b>USAID</b>	United States Agency for International Development
<b>WA BiCC</b>	West Africa Biodiversity and Climate Change
<b>WRI</b>	World Resources Institute
<b>WWF</b>	World Wide Fund for Nature









# Introduction

Mitigating climate change and strengthening democracy, government effectiveness, and human rights are critical and interdependent global development objectives. Much of the deforestation and land degradation that drives the greenhouse gas (GHG) emissions warming the planet stem from actions such as illegal and unsustainable logging, commercial agricultural expansion, clearing of forests, and burning wood as fuel and to make charcoal in forests and mangroves. Climate change mitigation is just as much a question of political economy as it is about improving agricultural or energy technologies. Deforestation and land degradation impact human rights and livelihoods. Improving human rights, reducing corruption and impunity, and enforcing the rule of law—for example, securing an affected community’s right to land and strengthening its voice in political processes—can improve mitigation outcomes. Integrated approaches are better able to address the realities of political interest group competition, corruption, and limitations to the effective rule of law, as well as to mobilize wider constituencies for more sustainable landscapes. Likewise, bringing citizens and communities together around a shared goal of improving natural resource management can foster more participatory, inclusive, transparent, and accountable governance.

However, while there are numerous benefits to the integration of sustainable landscapes and DRG, development practitioners have a varied level of awareness of the benefits and approaches to achieve integration. The purpose of this “Cross Sectoral Guide: Sustainable Landscapes & Democracy, Human Rights and Governance” is to help development practitioners integrate SL and DRG approaches and activities, in support of improved development outcomes. Improved development outcomes include improved effectiveness and sustainability of interventions, more participatory democratic governance processes, and enhanced progress on partner countries’ climate change mitigation efforts. This guide is intended mainly for USAID staff and implementing partners, particularly those with responsibility for SL and DRG activities. In addition, the guide is useful for any development professionals seeking sustainable, equitable, and scalable climate and citizen action.

This guide is structured around the USAID Program Cycle (see Figure 1), recognizing that concepts and tools introduced at one stage can apply throughout the cycle (USAID Learning Lab, n.d.). The three case studies build from interviews with USAID and project staff and resource materials that illustrate different types of approaches at various stages in the cycle.



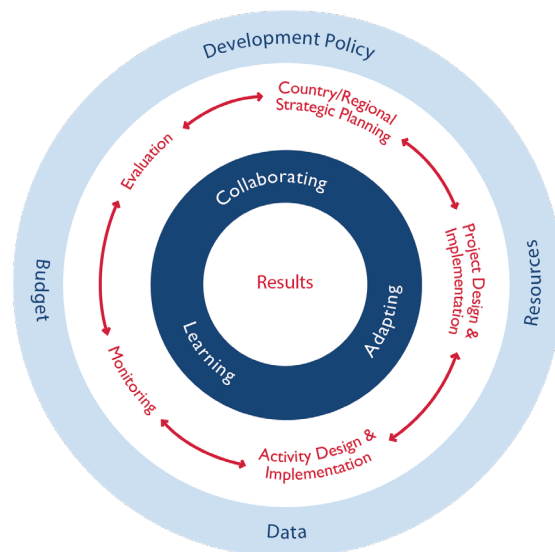
Section 1 reviews key concepts and definitions that inform the SL and DRG subject areas in the USAID context and thereby provide the foundation for mutual understanding between the two subject areas. Section 2 presents frameworks and tools for strategic planning. Section 3 delves into three integrated design and implementation approaches: comprehensive co-design; use of a DRG tool to refine analysis of an SL project; and an overview of the natural resource management (NRM) sector's approaches to incorporating governance into activities. Section 4 focuses on monitoring, evaluation, and learning (MEL) as inspired by the practice of Collaborating, Learning, and Adapting (CLA).

A set of practical annexes links to relevant sections of the guide. Annex 1 is a crosswalk lexicon explaining common SL and DRG terms. Annex 2 is a set of system-level tools useful for high-level planning. Annex 3 uses illustrative projects to demonstrate how DRG concepts and tools relate to various technical SL themes. Annex 4 offers pointers for selecting integrated design structures and mechanisms. Annex 5 supports the creation of situation analyses for integrated projects. Annex 6 proposes questions and resources for critical thinking and learning.

Interviews with more than 50 key informants (Annex 7) across the SL and DRG program areas informed this guide. These included USAID Washington staff, USAID Mission-based staff, program implementers, and scholars as well as a desk review of project documents and other relevant resources (Annex 8).

The former USAID Global Climate Change (GCC) Sustainable Landscapes (SL) team, together with the former Democracy, Rights, and Governance (DRG) Cross-Sectoral Programs (CSP) Division, commissioned this guide. The USAID SL (now NCS, Natural Climate Solutions) community desires closer integration with DRG, including stronger collaboration with colleagues, to craft approaches that incorporate the analysis of political and economic forces. Environment Officers recognize that a clear understanding of governance arrangements is an integral part of SL activities. Explicit use of DRG tools and concepts, such as Political Economy Analysis (PEA) and Thinking and Working Politically (TWP)<sup>1</sup>, is nascent within SL. However, USAID has a rich legacy of natural resource governance activities; for example, through the Nature, Wealth, and Power (NWP) and the Land Tenure and Property Rights (LTPR) frameworks. While the DRG community is also interested in integration, there have been fewer opportunities to date for DRG staff to collaborate with SL projects and staff. Lessons from efforts such as the use of PEA in biodiversity conservation and market systems strengthening can be applied to SL-DRG integration (USAID, 2019c).

*Figure 1: USAID Program Cycle*



<sup>1</sup> - Thinking and Working Politically (TWP) Through Applied Political Economy Analysis (PEA)—Guide and Supporting Materials - <https://usaidlearninglab.org/library/thinking-and-working-politically-twp-through-applied-political-economy-analysis-pea-guide>

## Key Benefits

SL and DRG activities are natural complements, as both focus on supporting collective action and the common good over generations. Both include the participation of citizens, the private sector and government in public service delivery. The perceived differences between SL and DRG can be significantly bridged by defining mutually supportive objectives: stronger, well-functioning, and accountable democracies that prioritize better natural resource and land management.

**DRG Benefits of Integration:** Strengthening Sustainable Landscapes (and Natural Resources Management in general) can support DRG objectives since NRM is a tangible type of public service delivery, of particular relevance to local communities, that can serve as a sectorially focused and concrete means of advancing democratic governance. NRM is often an area around which there is common understanding for communities to come together to work collectively and overcome social divides and political polarization. This can encourage democratic outcomes such as increased civic participation and government oversight as well as more transparent, responsive, and participatory forms of government.

**Sustainable Landscapes Benefits of Integration:** By focusing on DRG approaches and principles, such as increasing community participation, strengthening local governance, addressing land tenure, and achieving buy-in where communities are meaningfully involved will lead to more activities that promote sustainable results over time and are then able to sequester carbon for longer. This increased permanence of interventions is particularly relevant for SL activities to avoid a scenario where communities protect trees for the life of an activity and then cut them down once it concludes. At a higher level, working with and strengthening local institutions may also improve the scale and impact of policy or planning work necessary for more sustainable and systemic outcomes.

**The following themes illustrate the benefits and urgency of SL-DRG integration:**



- ▶ **Fight corruption and waste.** Address drivers of systematic corruption, and thereby strengthen the rule of law, to achieve meaningful and lasting results in reversing and reducing greenhouse gas (GHG) emissions at a national scale. Corruption, impunity, illegal logging and associated trade, weak land tenure and human rights, and lack of transparency drive GHG emissions. Corruption in the land-use sector wastes an estimated US\$11–28 billion a year in tax revenues and government resources (Nellemann, 2012).



- ▶ **Increase scale and sustainability.** Build diverse constituencies for climate change action within and beyond the environment sector by linking to justice and governance concerns. Also, promote DRG objectives by engaging on environmental issues that are central to people's livelihoods and economies.



- ▶ **Improve livelihood and economic outcomes.** Make livelihood interventions more effective by incorporating political economy analysis of markets and local economies.



- ▶ **Work more effectively in conflict and resilience situations.** Improve understanding of how political instability, government fragility, and violent extremism impact land and natural resource use and how the latter can be a driver of violent conflict.



- ▶ **Effectively engage indigenous people and environmental defenders.** Protect environmental defenders, many of whom are indigenous, because they are at the forefront of environment and civil society watchdog and reform efforts.<sup>2</sup>

2 - Policy on Promoting the Rights of Indigenous Peoples. (2020, March). Retrieved May 8, 2020, from <https://www.usaid.gov/sites/default/files/documents/1866/USAID-IndigenousPeoples-Policy-mar-2020.pdf>

## Key Takeaways

- ▶ SL practitioners understand that the drivers of deforestation and GHG emissions stem from the actions of governments and non-governmental actors at varying organizational levels. Furthermore, these actions are influenced by power relations and the economic value of land and resources (the political economy context). The DRG sector has conceptual tools and frameworks that can be incorporated into SL practice to deepen and sustain these understandings. DRG approaches highlighted are: Political Economy Analysis (PEA); Thinking and Working Politically (TWP); and the principles of Participation, Inclusion, Transparency, and Accountability (PITA).
- ▶ SL activities provide a variety of opportunities to advance DRG goals either at a national level or with respect to civil society and human rights activities within a sector foundational to the economy and livelihoods. DRG practitioners should consider how focusing attention on land and natural resource governance aimed at reducing GHG emissions can also enhance anti-corruption, rule of law, civil society strengthening, and other key DRG objectives.
- ▶ Technical and operational integration ideally starts with strategic planning, including the development of a Country or Regional Development Cooperation Strategy (C/RDCS), portfolio reviews, and cross-sectoral technical working groups.
- ▶ SL-DRG integration requires fostering trust and understanding. SL and DRG practitioners alike should learn each other's key terminology, go on joint field visits, consider how sectoral guidelines facilitate or hamper integration, and apply critical thinking and evidence about how sociopolitical and natural systems interact. It is also fundamental to engage with indigenous peoples at an early stage.
- ▶ Though there is not yet a full inventory for SL-DRG integrated approaches, we can synthesize USAID's experience in SL-DRG integration into three approaches: co-design and implementation, incorporating DRG tools and expertise, and natural resource governance. We consider other approaches that incorporate shared SL-DRG values, and emphasize that indigenous peoples and other key local actors should receive the necessary capacity-building support to enable their effective participation in these co-design activities.
- ▶ Integrated design can be grounded in a situation analysis linking immediate problems and threats to root causes or drivers, informed by DRG concepts such as TWP. This analysis leads to a theory of change that posits and tests how incorporating DRG or SL will contribute to the project goals.
- ▶ Three case studies illustrate what integration can accomplish:
  - Incorporating natural resource governance in Nepal (Case Study A, page 14) led to inclusive and participatory community forestry institutions that became a widespread advocacy movement embedded in Nepal's political system, facilitating immense conservation accomplishments. USAID's more than 35 years of investment in community forest user groups (CFUGs) has been one of the Agency's most significant contributions to democracy in Nepal, with CFUGs providing stability, functioning as local government during the Maoist uprising, and contributing many parliamentarians and over 2,000 local government officials from their ranks.
  - Co-design and DRG funding in Cambodia's Greening Prey Lang (Case Study B, page 22) led to reduced corruption and greater transparency, enabling conservation of the largest expanse of lowland evergreen woodlands in Southeast Asia.
  - Incorporating DRG and NRM cross-cutting tools and perspectives in the West Africa Biodiversity and Climate Change (WA BiCC) project (Case Study C, page 26) coordinated policy reforms across countries and improved forest and mangrove conservation in a larger geographic region.



# Definitions

## 1.1 What Does SL Mean?

USAID's Sustainable Landscapes (SL)<sup>3</sup> programming falls within the Global Climate Change (GCC) sector and comprises a suite of activities that have an explicit, primary objective of slowing, halting, or reversing greenhouse gas (GHG) emissions from land use. A term often used in SL is “mitigating” or reducing the magnitude and related impacts of climate change. SL work encompasses practices at all spatial scales to reduce GHG emissions. SL activities contribute to the capacity for developing and implementing cohesive national sustainable land management systems. In addition, SL activities focus on areas where large-scale emission reductions can be achieved, rather than on small-scale, ad hoc activities that do not help a country achieve significant and comprehensive reductions. To achieve emissions reductions at the national, provincial, and local levels, SL initiatives work with institutions at each level and across sectors such as agriculture, forestry, land, and finance.

A key objective of SL activities is to support the development and implementation of policy frameworks such as Reducing Emissions from Deforestation and Forest Degradation (REDD+)<sup>4</sup> at the national level, as well as testing and refining approaches to REDD+ and similar initiatives at the site or jurisdictional (e.g., district or province) levels. SL activities may also address practices driving GHG emissions, such as the production of charcoal, that lead to widespread deforestation, or agricultural systems that involve clearing and burning forests. In addressing drivers, SL activities also strengthen national emissions reductions frameworks and build the capacity of actors at all levels.

### *How Does SL Differ from Other Environment Sectors?*

An understanding of how SL converges with, and differs from, other environment sectors—such as biodiversity conservation, climate change adaptation, natural resources management, and sustainable or climate-smart agriculture—is particularly important for DRG staff engaging within the sector. There is often considerable overlap among areas in the environment sector, but the primary objective of SL is mitigation of climate change (reducing net GHG emissions from land). All USAID environment activities seek to reduce threats to the natural environment and improve human well-being. Many, if not most, projects seek both site-level results and broader improvement in policies and institutions that impact environmental issues. The use and advancement of scientific research into trends, threats, and solutions is critical.

**Natural Resources Management (NRM)** is a broad term encompassing activities to strengthen the conservation, use, and management of a given natural resource of interest such as soil, air, water, etc.

3 - As of early 2021, USAID is transitioning from the term Sustainable Landscapes to the term Natural Climate Solutions.

4 - The + in REDD+ refers to “the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries.”

NRM activities usually work across several different resources in an integrated fashion. For example, on a given plot of land, this could include erosion control, cultivation of native species and avoidance of invasive species, use of permitted chemicals for pest management, use of forest reserves or private protected areas, etc.

**Biodiversity** activities are focused on conserving species and natural wild areas of high biodiversity richness. SL activities may take place in areas that are not biodiversity priorities but are threatened with large-scale deforestation, such as agricultural landscapes or peri-urban areas. SL projects and research may also center on specific commodities, such as charcoal or palm oil, whose expansion accelerates GHG emissions. A program working in the forestry sector may also integrate multiple environmental objectives in addition to SL such as reduction of emissions from deforestation both within the forest and in the wider landscape, and biodiversity conservation focused on wildlife and forest diversity.

**Climate change adaptation** is relevant to both rural and urban areas. Adaptation programming supports the development of climate-resilient infrastructure to reduce vulnerability, improve climate information systems, and facilitate the implementation of resilient farming systems, among other actions. Sustainable and climate-smart agriculture both emphasize technologies that foster climate change adaptation (for instance, to retain soil moisture) and emissions reductions (for instance, from soil tillage and burning), with a strong focus on farm profitability.

SL activities may be integrated with, or contain elements of, biodiversity, adaptation, and climate-smart agriculture. An example is work in mangrove ecosystems, where SL focuses on reducing deforestation, biodiversity in retaining coastal fisheries' productivity, and adaptation in reducing the impact of potential storm surges on coastal communities.

## 1.2 What Does DRG Mean?

USAID's democracy, human rights, and governance (DRG) activities foster democratic governance and human rights for the sake of both freedom and dignity, and because human rights and democratic governance are associated with sustainable socioeconomic development and lower rates of violent conflict (USAID, 2019g). Democracy is a form of governance that is generally characterized by an emphasis on political equality and transparent, accountable processes (notably elections) that most effectively serve the needs and preferences of the public (USAID, 2019f). Advanced democracies allow the exercise of rights such as freedom of speech, assembly, and association, and have due process or rule of law and internal controls on executive power (Lührmann, Tannenberg, & Lindberg, 2018). Within the context of democratic governance, human rights institutions work to ensure that all segments of society can enjoy the same rights.

There is evidence that democracies protect the environment more effectively than other forms of government. For example, a comprehensive quantitative study found that the extent to which a country is democratic had significant effects on reducing carbon dioxide emissions, nitrogen dioxide emissions, deforestation, land degradation, and organic pollutants in the water (Li & Reuveny, 2006). While not all studies on this topic have such clear findings, there are general features of democracy

that lend themselves to enhanced environmental protection, including freer flows of information (alerting the public to risks and damage), more open civic space to protest and lobby, and greater transparency in policy-making and law to correct flawed policies and their unanticipated costs to the public (Drosdowski, 2006).

USAID's DRG activities were traditionally focused on strengthening state institutions to improve elections, political processes, and rule of law, as well as strengthening civil society organizations' (CSOs) management and advocacy. In recent years, the focus has shifted to improving accountability, openness, and participation, especially with respect to revenue mobilization and public funds management. Interventions also center on building effective civil society networks, often through supporting social media, independent journalism, and campaigns to raise public awareness of policy issues. DRG tools and approaches are regularly applied to other sectors through, for example, projects to improve local government capacity and increase public involvement. This work can help governments direct donor interventions in sectors such as education, agriculture, public health, and natural resource management. The Human Rights-Based Approach (HRBA) is an important feature of DRG activities that alerts practitioners to the reality that even democratic governments do not necessarily protect the rights of indigenous or minority groups, and that due diligence is needed to ensure their protection.

Table 1 presents the tools and concepts that are deployed to achieve joint DRG and SL outcomes, and Annex 1 provides further definitions of commonly used DRG and SL terms.



*Table 1: DRG Tools and Approaches*

Tool / Approach	Definition
<p><b>Thinking and Working Politically (TWP)</b></p> <p><b>Key References:</b> Menocal (2014), Laws and Marquette (2018), Hudson, Marquette, and Waldock (2016), Swift (2018)</p>	<p>TWP is a strategic orientation to help design and implement activities in a more politically informed way that allows for adaptive management. TWP enables better understanding of the systems in which we work and the ability to identify sustainable, locally generated solutions. To help with “thinking politically,” programs can conduct political economy analyses (PEAs), and the results of a PEA can be used as a basis for “working politically” throughout a program. PEAs can also be used to periodically adapt activities to local context.</p> <p>TWP operationalizes the findings from a PEA and provides a framework to determine where actions will generate political resistance or political momentum, how champions can be identified, and where coalitions can be created to strengthen and sustain results.</p> <p>However, TWP does not require a PEA. Other ways to monitor political context include rapid “everyday political analyses” to understand important actors and room for change, or subjective tracking of a local political environment at weekly team meetings. For more ideas, see <a href="#">USAID’s Tips on Learning from Context</a> (Swift, 2018).</p>
<p><b>Political Economy Analysis (PEA)</b></p> <p><b>Key References:</b> Menocal et al. (2018), Cammack (2016), McLoughlin (2014)</p>	<p>A <a href="#">PEA</a> is a structured analytical method intended to help practitioners understand the incentives and constraints impacting the behavior of actors within the larger system. Conducting a PEA supports a more holistic picture of political, economic, social, and cultural influences. It includes gathering data through existing literature and rigorous fieldwork.</p>
<p><b>Principles of Participation, Inclusion, Transparency, and Accountability (PITA)</b></p> <p><b>Key References:</b> USAID (2016), Waddington, Stevenson, Sonnenfeld, and Gaarder (2018), McGee and Gaventa (2011), Brinkerhoff and Wetterberg (2015)</p>	<p>PITA are core principles of DRG practice that influence the relevance, effectiveness, and inclusiveness of public service delivery. Integrating PITA principles generally includes:</p> <ul style="list-style-type: none"> <li>• Participation: incorporating participatory planning, ideally on an ongoing basis;</li> <li>• Inclusion: involvement of marginalized groups, sometimes through CSOs;</li> <li>• Transparency: public information about citizen rights or the performance of public officials; and</li> <li>• Accountability: citizen feedback.</li> </ul> <p>Transparency and accountability can also include understanding how government institutions place checks on each other or how institutions function internally (Waddington, Stevenson, Sonnenfeld, &amp; Gaarder, 2018).</p>

Tool / Approach	Definition
<p><b><u>Human Rights-Based Approach (HRBA)</u></b></p> <p><b>Key References:</b> United Nations Development Group (2003)</p>	<p>In the UN Programme for Reform that was launched in 1997, the Secretary-General called on all entities of the UN system to mainstream human rights into their various activities and programs within the framework of their respective mandates. Since then, a number of UN agencies have adopted a human rights-based approach to their development cooperation and have gained experience in its operationalization. However, each agency has interpreted and operationalized the approach in its own way.</p> <p>This Statement of Common Understanding specifically refers to a human rights-based approach to the development cooperation and development programming by UN agencies.</p> <p>The Common Understanding:</p> <ul style="list-style-type: none"> <li>• All programs of development cooperation, policies, and technical assistance should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments.</li> <li>• Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and phases of the programming process.</li> <li>• Development cooperation contributes to the development of the capacities of “duty-bearers” to meet their obligations and/or of “rights-holders” to claim their rights.</li> </ul>

## 1.3 What Does Integration Mean?

Integration is a vision, plan, and implementation approach that brings together diverse perspectives, skills, and resources to achieve mutual objectives or achieve an objective more effectively than through a single-sector approach. Integration can take various forms, which are not mutually exclusive:

**Functional integration:** Staff or teams design and/or implement a strategy or project together to achieve shared or co-equal objectives.

**Expertise integration:** A team brings in expertise from another sector for strategic planning or to achieve an objective.

**Team integration:** Functional cross-sectoral teams work together on a specific task or to serve a long-term development objective. This form of integration may be used for strategic planning.

**Funding integration:** Merging of funding streams into a project; this may or may not lead to functional integration.

**Co-location:** Projects work in the same area or site; this may or may not lead to functional integration.

**Ad hoc integration:** Not planned but occurring for bureaucratic or logistical reasons; e.g., funding is cut in a sector, so a project or Mission has to adjust using different funding stream(s).

SL-DRG integration links an understanding of the factors driving emissions to an analysis of the key actors' incentives and power structures that shape outcomes. For DRG, SL provides a rich arena for activities to improve governance at all levels, strengthen land and resource rights for local communities, and protect environmental defenders, many of whom are indigenous. [Research](#) demonstrates that indigenous peoples' governance systems are effective in conserving biodiversity and protecting against deforestation, and can serve as a model for DRG (Rights and Resources Initiative, Woods Hole Research Center, & World Resources Institute, 2016). The [Tenure and Global Climate Change Program](#) also developed and tested various [tools](#) and [methodologies](#) to demonstrate links between land tenure security and SL outcomes (USAID, 2012b; Sommerville, 2013; USAID, 2016f).

**Integration is not always desirable!** SL activities need to meet specific criteria for site-level and policy interventions to achieve GHG emissions reduction at significant scales. DRG funds must also be used for activities that can reasonably be expected to yield results in project timeframes. An SL site-level or policy project may not be the best investment of DRG funds, depending on country priorities. However, this doesn't mean that SL projects can't deploy DRG tools, concepts, and expertise, or that DRG activities can't have results that are in line with SL programming goals. Finally, community engagement (i.e., inclusion and participation) factors will not likely be successful or sustainable if local communities (including indigenous peoples) are not engaged and participating.





# Strategic Planning

*This section describes how key frameworks, strategy processes, and tools can be deployed for SL-DRG integration. For inspiration in strategic planning, the section concludes with examples of large-scale forest and land management efforts that have incorporated governance elements and achieved governance and environmental successes.*

## 2.1 Frameworks for Strategic Planning

Democracies with active civil societies and governments that deliver services to constituencies are generally more likely to sustain environmental reforms and adhere to international agreements, as discussed above and depicted in the World Resources Institute's [Environmental Democracy Index](#) (World Resources Institute, 2015). Analysis of this index and other data sources can reveal gaps in democratic practices, climate change policies, and policy implementation. Such analysis can underpin investments in strengthening both sectors at the country level.

### ***Learning from USAID's Nature, Wealth, and Power (NWP) Framework***

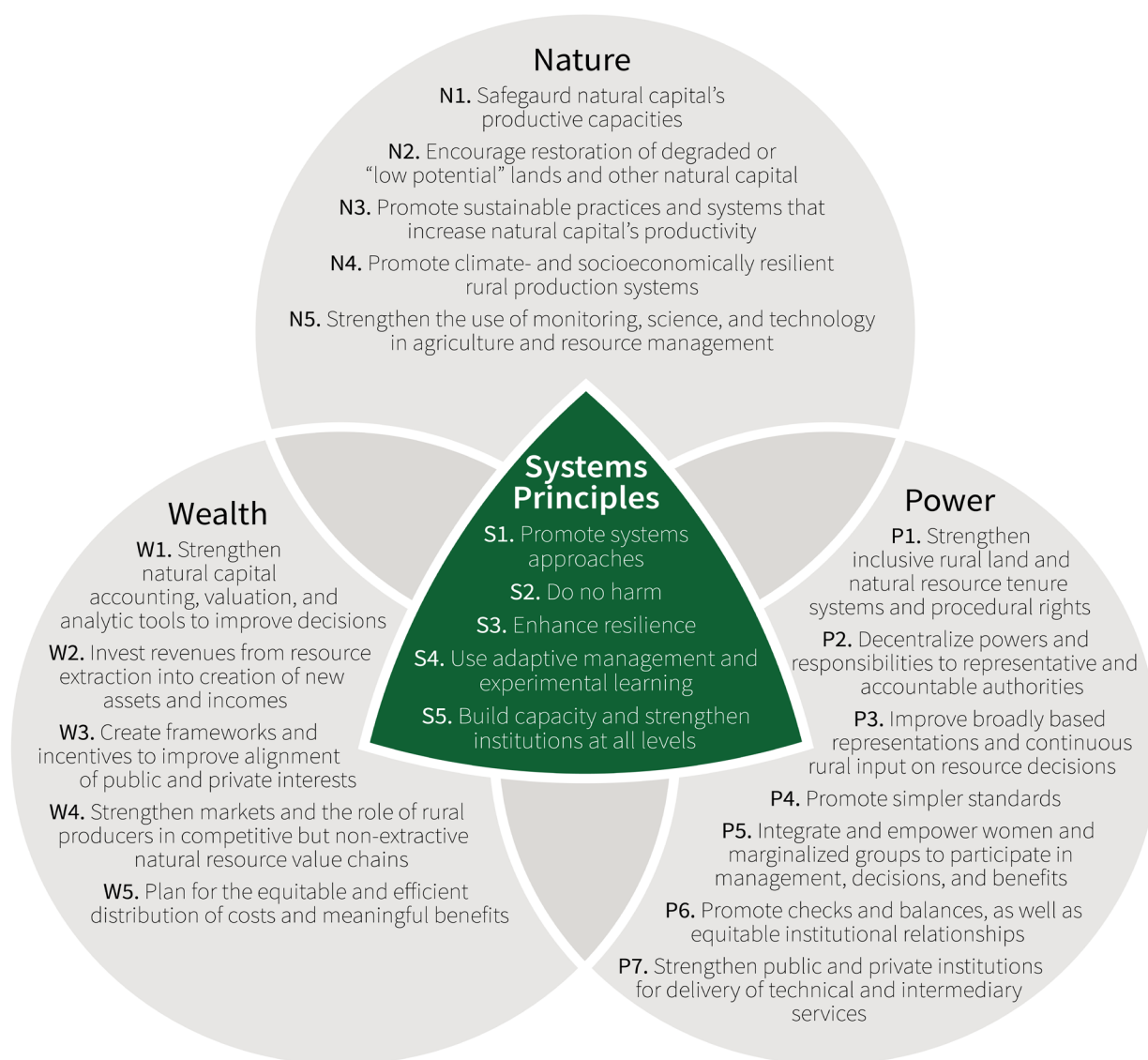
The [NWP framework](#) provides inspiration for integrated strategic planning (USAID, 2013c). NWP was a landmark USAID effort to analyze factors underlying success in natural resource management, given the failure of many technically focused approaches over the years. Although USAID uses the NWP framework less often now, it informed many USAID projects that addressed the linked problems of poverty, environmental degradation, and poor governance stemming both from unequal power relations between large-scale and local actors, and from weak local governance capacity.

NWP incorporates components of PEA and TWP approaches to political context analysis, but with the added consideration of the political economy of livelihood, market, and economic options, as well

as land tenure and property rights (Freudenberger & Miller, 2010). Consider using the NWP framework for strategic planning, given the introduction of a new [USAID environment and natural resource management \(ENRM\) framework](#) and the fact that many SL projects integrate ENRM with livelihood and tenure components.

Figure 2 outlines principles developed from a decade of NWP practice.

*Figure 2: Nature, Wealth, and Power Framework*



The global [Translinks program](#) was designed around the NWP framework and included a strong focus on REDD+ and governance (USAID, 2016c). Translinks sponsored a number of “Katoomba”<sup>5</sup> events that brought together diverse stakeholders in a country to build political will for and citizen input into REDD+ initiatives. One output from the [Brazil Katoomba](#) and the investments leading up to and following it was a landmark REDD+ agreement within the large territory of an indigenous people in Brazil, the Surui (USAID, 2013a).

At the country level, the Wula Na’afa project in Senegal used the NWP framework to address the root causes of key SL concerns such as deforestation; unsustainable charcoal production; and poor agriculture, animal husbandry, and land management practices through approaches depicted in Figure 2.

Wula Na’afa not only helped resolve technical and productivity issues in natural resource management, it also improved natural resource-based value chain and market dynamics and ensured local control and decision-making over forests and natural resources (USAID, 2014). Evaluation findings include: related to Nature, decentralization laws leading to increased use of new harvesting rules, improved harvesting practices, reductions in bush fires, and forest regeneration; for Wealth, substantial reductions in poverty through improved technologies and methods; and for Power, widespread participation in local village governance, including the design of 24 local conventions (bylaws) (USAID, 2014; Winterbottom, 2007).

While NWP provides a sound foundation for integrated activities, ongoing political economy analysis and support is needed because pushback from powerful interests is extremely likely when valuable resources are involved. The Surui agreement has been tragically suspended due to [illegal logging and mining](#) (Lang, 2018; Redd-Monitor, 2018). In another case of NWP activities in Senegal, local forest managers fought for years against charcoal cartels to receive a decent price for their sustainably harvested charcoal, as documented in the film [Weex Dunx and the Quota](#), by political scientist Jesse Ribot.

## ***Inspiration for Strategic Planning from Projects With Large-Scale Governance and Environment Outcomes***

Staff working on DRG and SL activities can work together on strategic planning to consider how, in the long-term and across sectors or subject areas, activities can sustain impact. A sustainable long-term vision often requires building broad constituencies for change to promote better governance, including environmental governance, in a given area or country that can embed successful practices into laws and policies. Ultimately, climate change mitigation must become a “movement” embedded in government and civil society practice at a broader level rather than a specific project to reach the scale necessary to counter the forces driving deforestation and land degradation.

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5 - Named after the town in New South Wales, Australia, where the first event was held.





## Case Study A: Nepal Community Forestry & Hariyo Ban

The case of Nepal's community forestry programs and [Hariyo Ban](#) (Phase I: 2011-2016, Phase II: 2016-2021) illustrates how long-term support and building political will for policy change enabled environmental activists to eventually move from local to national action (WWF Nepal, n.d.). Community forestry projects work to provide land rights to local communities, as well as to organize other activities (see Section 3.2). In this case, environmental activists were able to help promote and sustain large-scale successes, eventually entering government roles.

Prior to Hariyo Ban, long-time USAID support to Nepal Community Forestry User Groups (CFUGs) broadened constituencies for environmental management by scaling up community forestry and improving its impact. CFUGs engaged in national-level political processes through the Federation of Community Forestry Users Nepal (FECOFUN), which includes over 8.5 million people. USAID was instrumental in developing the CFUGs and supporting FECOFUN since its inception in 1995, pointing to the importance of long-term support for successful natural resource management initiatives.

Hariyo Ban was designed to build resilience to climate change in communities and ecosystems by restoring and conserving Nepal's forests. The main themes of the program were sustainable landscapes, biodiversity conservation, payments for ecosystem services (including REDD+), and climate change adaptation. It also included livelihoods, governance, and gender equality and social inclusion (GESI) as cross-cutting themes. Livelihood support was linked to reductions in deforestation and encroachment because those in poverty may overuse forest resources and start forest fires as part of their livelihood activities. Forest governance, especially institutions or community forestry groups that help restrict forest use, is strongly linked to positive forest condition (WWF Nepal, 2016b).

Hariyo Ban focused on improving internal governance of natural resource management groups to ensure that results across all of its themes would be achieved and to hold public authorities accountable. The project provided DRG expertise through a variety of specialized tools to include women and marginalized groups, promote equitable benefit-sharing, and hold group





leaders accountable to members (WWF Nepal, 2016a). As an example of a democratic practice promoting accountability and transparency, all community forestry groups are required to hold an annual public hearing to assess management processes and outcomes, as well as a public audit that reviews financial transactions using the Public Hearing and Public Auditing (PHPA) tool (WWF Nepal, 2013a). They also rank each other by socio-economic status to fairly determine who should receive program benefits using the [Participatory Well-Being Ranking](#) (PWBR) Internal Governance Tool (WWF Nepal, 2013b).

In terms of outcomes, SL successes include reducing overharvesting of trees, overgrazing, and forest fires. The program has improved over

75,000 hectares of degraded forest (WWF Nepal, n.d.), strengthened management practices in community forests, and supported the government in writing 10 key policy documents. In collaboration with other stakeholders, it also piloted two payment for ecosystem services (PES) schemes to reduce sedimentation, which also affects economic activities (WWF Nepal, 2016a).<sup>6</sup>

Much of this success was due to the greatly expanded voice and impact of community forestry at the country level. Now many CFUG members have run for office and become part of the government—during local elections in 2017, 776 CFUG members were elected to government positions, 32 percent of them women (USAID, 2019c).

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6 - In terms of biodiversity and climate change work, it has helped to monitor and conserve endangered species, strengthen or create over 500 anti-poaching units, and support alternative livelihoods for over 16,000 forest dependent people as of late 2016. The program trained over 18,000 people in climate change adaptation, prepared over 400 adaptation plans, and provided drinking water supply systems, irrigation systems, drinking water reservoirs, check dams, dykes and embankments (WWF Nepal, 2016a).



## ***Large-Scale Sustainable Land Management Successes***

Other examples of long-term large-scale successes include the [HASHI program](#) (Tanzania), [Landcare](#) (Australia, New Zealand, Philippines, South Africa, East Africa), and [farmer-managed natural regeneration](#) in the Sahel. These are community-based efforts to improve soil, forest, and land management through efforts such as promoting cattle enclosures and reforestation (Equator Initiative, n.d.; Australian Landcare International, n.d.; World Vision Australia, n.d.). These efforts have had national and even international impact. Their success is based on giving families the rights to trees on their farms (previously all trees belonged to the state) and responsibilities for regeneration to local communities, as well as building political will for government support and policy reforms. Such large-scale efforts require long-term vision and investment. They enhance and network actions that farmers and natural resource managers are already undertaking. In the case of Landcare, there is strong involvement of the private sector in providing funds and endorsing actions.

## ***Country and Regional Development Cooperation Strategies***

The process of developing a Country or Regional Development Cooperation Strategy (C/RDCS) or a similar high-level review is an ideal time to identify important programming synergies that might not otherwise be recognized by individual sector offices or elevated to a level appropriate to country-wide development objectives, as well as to solicit the development of community-based objectives.

### **Using the 118-119 Analysis for Integration**

The Foreign Assistance Act (FAA) 118-119 Tropical Forest and Biodiversity Analysis is mandated by Congress to inform USAID strategy processes. Inspired by the USAID Best Practices Guide, this analysis has increasingly become a key tool for integration (Martino, Menzcer, & Kushnir, 2017). The analysis involves the entire Mission and all sectors in the Mission portfolio and reveals ways that USAID activities in the country impact, and could impact, forests and biodiversity both positively and negatively.

When USAID Jamaica carried out its FAA 118-119 analysis, Mission staff came together to consider intersections between priority sectors for the Mission and forests and biodiversity (USAID, 2018b). They discussed ways that violence affected natural resources on the island. Violence prevention was a priority for the Mission and is a common DRG objective, as gang violence and theft seriously hamper Jamaica's development and impact the U.S. A link they uncovered was the presence of gangs "hiding out" in rural areas, which likely also hampered attempts to implement sustainable forestry and watershed rehabilitation projects, which in turn hampered efforts to reduce GHG emissions. This process led to discussions about integration of NRM and violence prevention in rural areas.

## ***Cross-Sectoral Teams and Working Groups***

Biodiversity and DRG have organized multi-sectoral working groups to foster integration. The biodiversity-climate change working group and the DRG Center, for example, have been developing multiple biodiversity PEA products and recently, an integration guide (USAID, 2019c). Such long-term team efforts provide the space and time for strategic thinking. A best practice is to resource such groups with contractor support so they can flesh out ideas in products and tools.

## ***Portfolio and Strategy Reviews***

When an office carries out a portfolio review, it is common to invite other offices to listen in or even participate. Portfolio reviews may include a section on integration. If the office or sector has developed metrics for tracking progress, they can track and report integration efforts and results. When the agency and specific sectors craft or revise policies, the review process typically involves multiple stakeholders. For instance, the Policy on Promoting the Rights of Indigenous Peoples (PRO-IP)<sup>7</sup> involved multiple reviewers from many sectors (USAID, 2018e). This policy contains sections on SL, and is accompanied by specific sectoral guidance documents, including SL, which presents an opportunity to identify integration entry points and propose integration approaches.

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7 - "Policy on Promoting the Rights of Indigenous Peoples." (2020, March). Retrieved May 8, 2020, from <https://www.usaid.gov/indigenous-peoples/usaid-policy-on-indigenous-peoples>



# Design & Implementation

*This section first lays the groundwork for integrated design with pointers for improving trust and mutual understanding. It then presents illustrative USAID approaches to integration, as well as other potential avenues for integration. The section concludes with an introduction to resources for integrated SL-DRG project design. The worksheet in Annex 4 walks through considerations for designing integrated programs: choosing appropriate program structures, considering the enabling environment, and selecting institutional partners.*

*This section covers the design of integrated approaches at a high level. Please see Section 4 for design considerations for effective MEL of USAID projects.*

## 3.1 Laying the Groundwork for Integrated Design

### ***Facilitating Trust and Mutual Understanding***

Integrated design teams that include multiple technical offices have been an effective means of building integration at the conception phase. Many people interviewed for this guide pointed to the importance of good relationships among colleagues, across offices, and between Washington, D.C. and the field for successful integration. An essential element of building relationships and trust is understanding differing professional and technical perspectives.



*Solution*

*Joint field visits support this trust and skill-building. In the field, sectoral divisions break down because development problems are highly interrelated for those experiencing them. The presence of a “culture broker”—someone who has knowledge of other sectors—also advances integration. Brownbag talks, where a colleague introduces technical perspectives and other-sector colleagues identify “blind spots” in relation to the technical area, deepen mutual understanding and technical literacy.*

## Addressing Specialized Terms and Concepts

Terms and concepts used in SL and DRG may have specialized meanings, or different meanings for the same term. The lack of common vocabulary can hinder cooperation.



*A general pointer is to avoid jargon, use plain language, or provide clear examples for USAID communications, per USAID's [Automatic Directives System \(ADS\) guidance](#) (USAID, 2019a).*

“Landscape” is an example of a specialized term for SL which also has a general meaning. For SL, it is used to denote specific ecosystems, and it has also become a locus of action, for example, identifying and mobilizing stakeholders in or actors impacting a landscape. Within DRG, on the other hand, administrative, institutional, network, or group units (e.g., civil society groups, government agencies, and groups with specific grievances or concerns) are common units of analysis. DRG staff may seek to understand what is meant by “governance of or in a landscape,” while SL staff will benefit from detailed knowledge of diverse stakeholder groups operating in a landscape and understanding how this diversity impacts outcomes.

Understanding specialized terms and concepts is a key step in coordination. In the case of landscapes and DRG units of analysis, it opens the potential for deep ecological and social-political analysis.



*In terms of planning, TWP/PEA can help determine how relevant governance entities intersect in a landscape or particular jurisdiction, and how they are viewed by local constituents. For instance, in a recent paper (Stickler et al., 2018), the authors found that despite gains in emissions reductions, “recent or ongoing multi-stakeholder processes relevant to LED-R [low emission rural development] exist in 20 jurisdictions, but very few (Acre, Jalisco, Quintana Roo) have established broadly representative, multi-stakeholder bodies specifically to develop and implement LED-R plans and activities. A common challenge is insufficient inclusion of important actor groups (e.g., producers, [indigenous people, local communities] in coordinated discussions with the public sector” (Stickler et al., 2018).*

*In terms of analyzing institutions in a landscape, conservation practitioners working in the [USAID SCAPES](#) program produced a [Natural Resource Governance Tool \(NRGT\) in Landscapes and Seascapes](#) (USAID, 2015b; USAID, 2016a; USAID, 2017b) that can be deployed to identify de facto and de jure governance entities in a landscape and evaluate their strengths and weaknesses. This tool was developed in consultation with political scientists. Joint DRG and SL teams could use this tool for strategic or project planning.*

Refer to the lexicon in Annex 1 for definitions of other specialized and sectoral terms.

## Meeting Earmarks and Sectoral Requirements

Despite the desire or mandate to integrate SL and DRG activities, it is not always easy to do so, given sectoral requirements and guidelines that mandate specific results or indicators (e.g., measurement of GHGs). However, there is flexibility in certain programming options, especially those that address enabling conditions and drivers of problems.



*Consider where sectoral requirements and guidelines facilitate better results or where they may hamper innovation and cross-fertilization. In some cases, activities to advance greater governance and/or institutional capacity-building can be justified even if biophysical targets are not set. For instance, SL initiatives seek large, lasting structural changes that will lead to long-term emissions reductions, even if GHG emissions reductions can't be measured during the life of the project.*

## Applying Critical Thinking

There is a substantial body of research on the political and economic dimensions of land and natural resource management. Considering the questions raised by such research and deploying TWP enables critical thinking about approaches.

*“If you are going to provide technical solutions to problems you still need to provide an enabling environment for technical solutions to actually have an effect.”*

*– Head of global research institution*



*Incorporate an understanding of the interests, incentives, relations of power, and influence that underlie any approach. Who stands to win or lose? Who is saying what about the problem and the solutions—shaping the narrative or “discourse,” in social science terms—and how does the narrative link to their interests? For instance, who is blaming whom for forest fires? What is the actual evidence for their causes? When is it effective to work with the private sector and when do interests diverge? Examples of insights gleaned from research are provided in Annex 6.*

## 3.2 Illustrative USAID Approaches to Integration

USAID is in the process of crafting model strategic approaches to SL, including those that integrate with DRG. With that process in mind, this section presents examples of approaches that integrate SL and DRG at different levels and in different ways. The first and most comprehensive form of integration presented is co-design and co-implementation. Next are SL projects that have used DRG tools and expertise. The last approach describes cases that incorporate strong natural resource governance elements, but where DRG concepts and tools may not be explicitly integrated.



Note that there is no “ideal” level or form of integration. Integration, like all elements of a strategic approach, should meet the needs of a development problem that is in the mandate and manageable interest of the operating unit. Resources, time, expertise, context, and many other parameters will shape approaches. Robust planning processes using systems tools, as discussed in Section 2, will provide a solid framework for design.

### ***Co-Design and Co-Implementation: Proactive Melding of SL and DRG Objectives***

This approach involves active participation of Environment and DRG staff in design and implementation, and incorporates DRG objectives, such as fighting corruption, to further the aims of SL and DRG. Incorporating approaches commonly used in the DRG sector<sup>8</sup> could broaden and sustain SL successes. Strengthening democratic and PITA processes to build constituencies for SL, and integrating SL-friendly policies and regulations into governance structures and private sector practices, can result in more sustainable emissions reductions. This leads to not only more sustainable SL activities, but also important DRG outcomes such as civil society strengthening, increased transparency, and accountability.

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8 - We follow the commonly used term “DRG sector” in this Guide. The ideal is for DRG to be integrated in other sectors, as prioritized in this Guide.



## Case Study B: Greening Prey Lang— Cambodia

This five-year project, awarded in 2018, provides an example of co-design and co-implementation in Cambodia's Prey Lang extended landscape, one of Southeast Asia's last remaining lowland evergreen woodlands. It works to promote resilient, low-emission development and inclusive sustainable management through a focus on communities, conservation, and improved governance. The program takes an integrated approach for sustainable watershed management and biodiversity within an extended landscape overlapping administrative boundaries and catchment areas. It combines participatory spatial planning and geographic information systems with trend analyses and local knowledge to assist in local and national planning efforts, and supports the development of sustainable economic opportunities, especially for women entrepreneurs and other marginalized groups (Business Wire, 2018).

Greening Prey Lang was partially funded with DRG funds and co-designed by individuals from the DRG Center. The DRG Center provided support developing guidelines for incorporating DRG language and developing the first-year work plan. While internal support was critical, the

project design team also met with local and national authorities. In terms of co-implementation, a DRG office staff member serves as the alternate Contracting Officer's Representative (COR) to co-manage SL and biodiversity funds.

*"During the design phase, the DRG Center provided clear guidelines in how to incorporate DRG language."*

*— USAID Cambodia Mission interviewee*

One result of the co-design process was the incorporation of DRG themes, such as a DRG focus on anti-corruption. Anti-corruption is a vital concern given extremely high rates of illegal logging where loggers often make it through checkpoints or are forewarned of patrols (Crothers, 2019). The project touches on other DRG issues as well, including the government and civil society's efforts to curb forestry crimes. It also addresses the transparency element of the DRG PITA framework by working to overcome information asymmetry—unequal access to data and information. It supports youth and activists' use of Facebook and other social media platforms to spread news and information about forest management, as well as to advocate and propose ideas to government.

## ***Incorporating DRG Tools and Expertise into SL Initiatives***

While coordinating with DRG expertise during the design phase will likely be more effective in identifying needs, challenges, and opportunities prior to project initiation, DRG tools and expertise can also be brought in on an as-needed basis throughout implementation. Annex 3 provides a worksheet illustrating how DRG tools, concepts, and approaches can be effective in specific SL technical areas with associated case examples.

### **Incorporating Political Economy Analysis**

[LESTARI](#) (2015-2020) supported the Government of Indonesia's efforts to reduce GHG emissions and conserve biodiversity in carbon-rich and biologically significant forest and mangrove ecosystems. LESTARI applied a landscape approach, integrating forest and peatland conservation with low emissions development on other already degraded land (USAID LESTARI, n.d.-a). The program focused on effective forest and land use governance, as well as building constituencies for advocacy within local communities (USAID LESTARI, n.d.-b). LESTARI commissioned a PEA after a midterm "pause and reflect" session that identified gaps in understanding. For instance, it was unclear whether project-supported multi-stakeholder advocacy forums were achieving the desired objective of greater transparency in land use decisions that directly impact emissions, or if that transparency in itself produced better decisions. Based on the PEA, LESTARI sharpened its advocacy agenda in each landscape and thought carefully about how to emphasize key areas of engagement and link them more tightly to project examples. As an example of a PEA recommendation at the Papua provincial level, where LESTARI lobbied for the use of a spatial planning management information system and a database for transparent information exchanges, the PEA identified bottlenecks amenable to advocacy and citizen-led processes to support this goal (USAID, 2018f).

### **Engaging Indigenous People, Local Communities, and Environmental Defenders**

The [Central Africa Regional Program for the Environment](#) (CARPE), working mainly in the Democratic Republic of Congo and the Republic of Congo, provided significant financial and technical resources to conserve and sustainably manage the planet's second largest contiguous tropical rainforest, covering 1.8 million square kilometers and providing livelihoods for around 80 million people (USAID, 2019b). Progress was made toward SL and biodiversity goals through, among other actions, developing a regional natural resource information base, strengthened protected area management, land use planning, and building organizational capacity and partnerships. CARPE brought in DRG expertise and funding to engage indigenous peoples in biodiversity and SL activities throughout its portfolio. This support was urgently needed to address [conflicts around protected areas](#) and [alleged human rights abuses](#), as well as to capitalize on [new policies](#) protecting indigenous rights (Kujirakwinja & Painter, 2018; Survival International, 2019; UN News, 2011). In the long run, it strengthened the program's ability to work with a key constituency and build on networks created by REDD+ processes in the region.

In Guatemala, DRG staff expertise helped community forest efforts coordinate with local justice ministries to protect natural resources and wildlife. National protected areas with community forestry brigades have prevented fires, leading to lower rates of fires compared to multiple-use zones. They have also prevented invasions and successfully supported access to timber and non-timber forest products, many of which are becoming certified. In Peru, the Mission's Environment Office collaborated with the DRG Center to support indigenous peoples and worked with Freedom House to develop best practices in engaging indigenous peoples and their associations in biodiversity and SL initiatives. Their efforts started with an applied PEA to develop a better idea of where to focus and what challenges would arise. They strengthened institutions, governance, representation, and use of funds such that the indigenous peoples were partners, rather than only funds recipients.

***“Generally what we have found is that indigenous institutions in the Amazon were...not having an equal seat at the table during planning discussions on resource rights and extraction for lands they have historically depended upon and used.”***

*– Foreign Service Officer*

This analysis fed into baselines, challenges, and recommendations for the region as a whole. Several missions are considering how best to support environmental defenders who are highly threatened and critical to both democratic and environmental progress.

### **Incorporating Law Enforcement**

The Security and Justice Sector Reform Project (2015-2017), as part of the Maya Biosphere Project in Guatemala, integrated law enforcement by training 500 park rangers on environmental crime, with a focus on illegal logging. As a result of the project, environmental crime sentences tripled in 2016. The program also helped with the creation of environmental courts and a specialized judicial system, and the program is expected to scale nationally. Because illegal logging is a substantial driver for forest degradation and related GHG emissions, environmental justice programs like this one help promote both DRG and SL objectives (ESRI, n.d.; Pearson, Brown, Murray, & Sidman, 2017; Rogers, 2018).

### **Digging Deep Into SL Approaches Through DRG Concepts and Tools**

Incorporating democratic processes into SL actions is important because some approaches to achieving emissions reduction (or failure to apply approaches appropriately) may lack transparency or even involve abuses of power. Communities may not understand the opportunity costs involved in allocating land or changing practices to achieve emissions reductions. Women and marginalized members of society may be assigned or even coerced to do much of the work, such as planting or nurturing trees, but receive few benefits if they do not have rights to the resource. Monitoring to understand how decision-making processes and power differentials impact human well-being, as well as biophysical outcomes, is essential. The Forest Carbon Markets and Communities (FCMC) project provides a set of resources on social safeguards and Free, Prior, and Informed Consent (FPIC) that can help reduce negative impacts.

However, incorporating DRG may involve tradeoffs in terms of efficiency. For example, undertaking Payments for Ecosystem Services approaches such as REDD+ within a democratic system may entail pressure to apply equal benefit sharing or focus on community-level benefits to reduce conflict and build consensus. But to motivate action, equitable benefit sharing—where people who did the work receive (a larger portion of) the benefit—tends to be more effective.

### ***Natural Resource Governance Approach***

The NRM sector contains a strong body of expertise in, and knowledge about, incorporating governance and rights concerns into activities, including through the NWP framework presented in Section 1. According to informants, this approach is the norm in many, if not most, SL projects. In many cases, expertise comes from within the sector rather than from DRG because there is not a strong DRG presence or sufficient bandwidth in the Mission, or because DRG officers lack sufficient understanding of specialized environmental governance challenges. In other cases, the governance issues to be tackled, such as those related to central and local resource management capacity gaps or insecure land tenure, are already familiar to environment officers.

Although there is strong NRM governance expertise within the Agency, environment officers interviewed for this guide felt that incorporating DRG tools and approaches can improve SL projects through better understanding of the overall context of governance and political economy.





## Case Study C: West Africa Biodiversity & Climate Change Project

The [West Africa Biodiversity and Climate Change](#) (WABiCC) program supports conservation and climate-resilient, low-emission growth across West Africa (USAID, 2015d). WABiCC targets governance at both the regional cross-boundary level and site level (testing approaches in learning landscapes in four countries: Liberia, Sierra Leone, Côte d'Ivoire, and Guinea), integrating policy reform with site-level best practices. The project is organized around three components: combating wildlife trafficking by building capacity to enforce trafficking laws; increasing coastal resilience to climate change through planning and strengthening the capacity of institutional frameworks; and (particularly important to the SL sector) reducing deforestation, forest degradation, and biodiversity loss through technical and knowledge management support (WABiCC, 2018; USAID, 2015d).

Cross-cutting NRM expertise is integrated into WABiCC through co-generating, documenting, and sharing knowledge and learning to influence policy and practice. Interventions, from design to evaluation, are conducted in partnership with three core regional partners: the Environment Directorate of the Economic Community

of West African States (ECOWAS), the Mano River Union (MRU), and the Abidjan Convention. Annual work planning provides an opportunity to integrate cross-cutting specialists and units into component activities, leading to effective coordination within the technical team.

Themes important to DRG within WABiCC include gender equality and social inclusion (GESI) and institutional capacity development of key regional governance institutions. The program developed a GESI guide and checklist that is used by staff and partners, and the Accra team and other members undertook a GESI training. In terms of building institutional capacity, the program started by developing institutional strengthening plans (ISPs) with core partners and adapted these based on needs. WABiCC also conducted gap analyses, including an analysis of the existing MRU Financing and Accounting framework.

Activities and outcomes relevant to SL include the promotion of effective interventions and improvement of the policy and enabling environment for forest and mangrove conservation. WABiCC also provided key support to Guinea's REDD+ Roadmap, officially launched in 2019 (WABiCC, 2018; USAID, 2018b).

## Community Forestry (CF): A Key Natural Resource Governance Approach

USAID has supported for decades, and continues to support, community forestry (CF) in all regions. CF is an approach to sustainable forest management that centers on securing rights to forests for communities, including deriving benefits from forest products and the ecological services that forests provide. As such, CF supports DRG outcomes including securing tenure and resource rights, conflict mitigation, improved local governance, and political inclusion.

Strengthening tenure in indigenous lands through community forestry can be a strong emissions reduction strategy (Frechette, Reyta, Saini, & Walker, 2016) because people who have the most to gain from intact forests (for livelihood, health, and cultural services) have more control over their use, compared to those whose interests in forests center on quick exploitation. In Liberia, USAID's support, along with other forces, eventually led to the development of the Community Rights Law, one of the most progressive community tenure laws in Africa (Liberia Ministry of Foreign Affairs, 2009).

The Maya Biosphere Reserve, covering 2.1 million hectares of lowland tropical forest on the border between Mexico and Guatemala, provides a clear case of community forestry rights reducing deforestation. Over 860,000 hectares became multiple-use zones with 25-year concessions to local communities. Over a decade of secure access to land and resources, combined with community-based forestry (CBF) schemes such as timber management and processing, improved and diversified livelihoods. Forest fire rates declined to nearly zero despite high levels of fires in areas outside community control, and once-rampant illegal logging dramatically declined (Barry, Campbell, Fahn, Mallee, & Pradhan, 2003).

CF is an entry point for conflict mitigation because conflict is a key driver of deforestation, and corruption in the commercial forestry sector can drive conflict. USAID launched the CF program in Liberia because access to forests was a source of grievances, and revenues from logging had financed the civil war. When an initial inter-agency strategy for forests was developed for Liberia solely around commercial forestry and protected areas, USAID environment staff worried that leaving communities out of the picture was a recipe for further conflict. A new CF approach was designed and eventually adopted by the government as one of three forestry management pillars. According to the USAID history, [Lessons Learned from Community Forestry in Africa and Their Relevance for REDD+](#), USAID support to CF was instrumental in reducing land conflicts (Blomley, 2013).

The CF pathway is no panacea. For example, a [2019 report by Global Witness](#) explains how local communities cannot always resist the pressure and lucrative offers from elites that own logging companies, which can accelerate deforestation (Mukpo, 2019; Global Witness, 2018). Although CF programs have identified and tried to alleviate the threat of commercial interests, CF reform is only as sound as overall governmental reform. This finding means that ongoing PEA is essential for CF, or indeed any approach, to support SL objectives.<sup>9</sup> In sum, the establishment of CF should be seen as an entry point for SL and DRG objectives and not a final result.

9 - There are several other good resources documenting the strengths and weaknesses of a community forestry approach, including Baynes et al. (2015) and the documents from FCMC that summarize lessons learned from community forestry for SL (Hagen, 2014).

## 3.3 Additional Integrated Approaches

In addition to the above SL-DRG integration approaches that have been used in USAID activities, USAID staff and implementers may consider other potential integration entry points and opportunities that draw on and create shared value across the sectors:

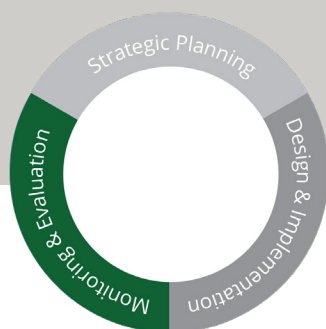
- ▶ Crafting joint DRG-SL civil society strengthening activities to integrate environmental, human rights, and pro-democracy efforts (see Figure 4 in MEL-CLA section).
- ▶ Building capacity of service delivery CSOs or advocacy- and rights-focused CSOs that can advance important intermediate SL outcomes and use participatory, inclusive, accountable, and transparent methods of operation.
- ▶ Strengthening local capacity to engage in evidence-based policymaking, via think tanks and other research institutions, to advance climate change-relevant policies and legislation, for example, by using evidence around improved land tenure regimes or frameworks.
- ▶ Targeting capacity-building efforts to certain government ministry and agency actors, including training, mentoring, and developing actionable operational and regulatory guidance that can be shared with the public.
- ▶ Integrating social accountability and civic engagement approaches and activities into SL projects to increase local participation and ownership.

### *Integration Is Not a One-Way Street: Incorporating SL Expertise and Tools into DRG Initiatives*

There are multiple entry points whereby the integration of SL approaches can contribute to DRG objectives, such as:

- ▶ Tools commonly used in the SL and natural resource management (NRM) sectors, such as remote sensing to detect changes in land use and forest cover, can democratize data access and promote advocacy for anti-corruption. See, for example, the Global Forest Watch platform.
- ▶ In a country context, environment and climate change may be critical government and civil society policy priorities that allow for wider discussion of decision-making structures and power relations.
- ▶ Policy frameworks and dialogues centered on climate change may provide a platform for discussing concrete reforms around land and resource governance. For instance, many REDD+ national forums have dealt with forest tenure reform, FPIC, and engagement of indigenous peoples, as well as rights and benefit-sharing for potential carbon revenue.
- ▶ Climate action often involves marginalized and indigenous populations, key target groups for DRG. Environmental defenders stand up to impunity and corruption, which are critical threats to democratic processes and human rights.
- ▶ Technical processes, often led by government, such as land-use planning and Monitoring, Reporting, and Verification (MRV), are entry points for civil society engagement and strengthening.





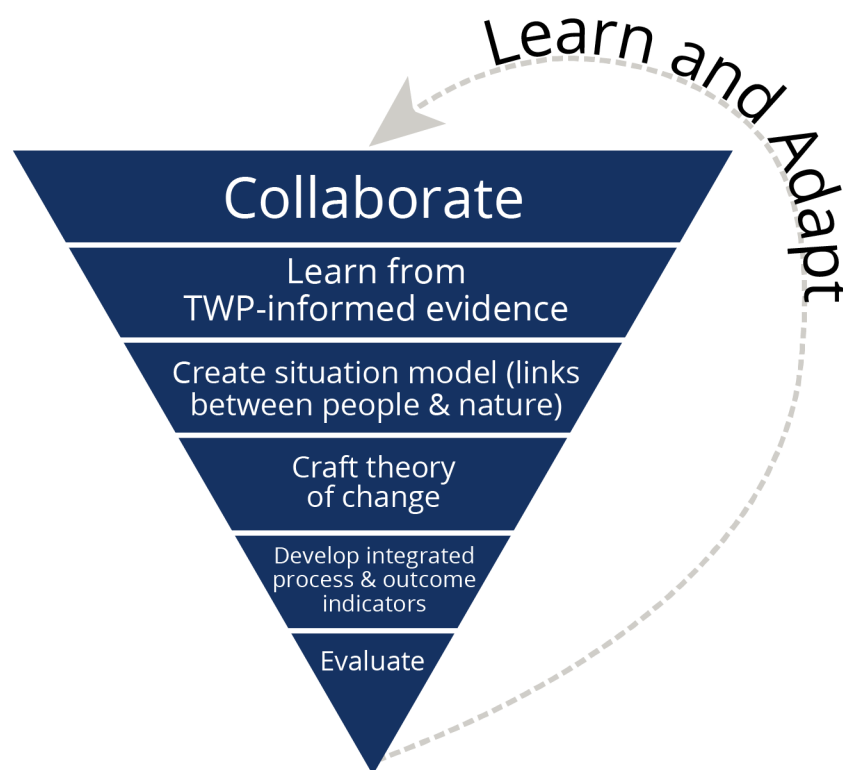
## Leveraging MEL & CLA Processes

*This section walks through steps to developing a MEL plan, incorporating key CLA concepts that foster integration. MEL and CLA are closely linked and both are deployed throughout the program cycle. MEL is the operational framework that tracks progress towards objectives as well as the development of, and learning from, a project's theory of change (TOC). There is an agency-wide community of practice regarding CLA that emphasizes teamwork, mutual learning, incorporating evidence, and local expertise. Learning from integrated projects will not only benefit the project and the unit, it will benefit the agency and the global development community (USAID Learning Lab, 2019).*

*This section opens with two core CLA concepts, collaborating and learning, and their use in integrated program design. It then moves to the development of a [situation model](#) or analysis as part of strategic planning (USAID, 2016a). The situation model informs the development of an approach or suite of approaches to achieving project objectives. Incorporating TWP into the situation model or analysis helps to identify specific political and economic drivers, actors that generate threats, and opportunities for change arising in DRG areas of concern.*

Developing a situation model in turn helps to identify and flesh out underlying TOCs, discussed next. Testing the accuracy of a project's TOC requires developing indicators and measures that gauge relevant SL and DRG outcomes, as well as using evaluation and learning plans to capture critical qualitative and contextual information. The concluding subsection covers the CLA concepts of learning and adaptation to refine project design and activities. This process of design, evaluation, and adaptation, illustrated in Figure 3, serves as an outline for subsequent sub-sections.

Figure 3: Design, Adaptation, and Evaluation



## 4.1 Collaborating and Learning for Improved Integrated Design

CLA processes foster collaboration and learning across sectors throughout the program cycle. The following are suggestions for enhancing CLA practices for SL-DRG integration based on key informant recommendations and the experiences of other sectors.

### ***Collaborating: Bringing Local Expertise to the Table***

CLA encourages engaging local expertise for consultation, analysis, and reviewing relevant evidence. These are important tools for understanding context and looking at problems from different perspectives.

Missions increasingly recognize that empowering Foreign Service Nationals (FSNs) to use their local knowledge of political economy in designs and adaptive management can enhance the realism and feasibility of approaches. For example, it may be critical to know how local stakeholders interact with government officials. In one case, an informant for the guide described how such interactions

created greater understanding between the two parties, while in another case, bringing local officials to the site made communication difficult with community members as they feared being caught in illegal activities.

Working with local research institutions, as has been done in Zambia through partnership with the Indaba Agricultural Policy Research Institute (IAPRI), can also be impactful and cost-effective, compared to bringing in DRG or SL experts who may not know the country's political economy context.

## ***Learning: Building the Evidence Base to Inform Program Design***

There is room in SL to build a stronger evidence base on what works to achieve SL outcomes. An applied research program that runs adjacent to an integrated project is an ideal way to obtain the rich information needed to address a program's learning questions. See Annex 6 for insights from research.

Linked to but conceptually and bureaucratically separate from DRG, perhaps the most advanced resource for crafting strategic approaches is found within the Conflict Management and Mitigation sector, which pulled together a body of [evidence and theory based on research](#) for developing theories of change and monitoring (Babbitt, Chigas, & Wilkinson, 2013). The biodiversity sector has undertaken a similar synthesis of approaches, for example in the [Biodiversity and Development Handbook](#) (USAID, 2015a). In SL, the development of a global SL situation analysis is ongoing. The ProLand project is studying ways that key drivers of GHG emissions, such as charcoal and shifting cultivation, can be addressed, and these findings will inform project designs.



*SL practitioners at USAID could commission an evidence review of emissions mitigation approaches, focusing on meta-analyses and systematic reviews, similar to the conservation sector. See, for example, the journals [Environmental Evidence](#) and [Conservation Evidence](#). In such a review, elements of political economy and rights can be identified and linked to the DRG body of knowledge. It is suggested that such a review could inform the development of SL strategic approaches.*

## **4.2 Developing a Situation Model or Analysis Using TWP**

A key step in project design is the crafting of a situation analysis or model as part of the Conservation Standards (CS) process (see suite of CS and related tools on the [USAID Biodiversity Conservation Gateway](#) [n.d.]). This tool and the CS processes have been used in USAID biodiversity programming for many years and are increasingly being adopted in SL and integrated programming. A good model will deploy systems thinking (see Annex 2) to depict how direct threats link to political and economic drivers and locate places where there may be convergence of interests and leverage points to bring

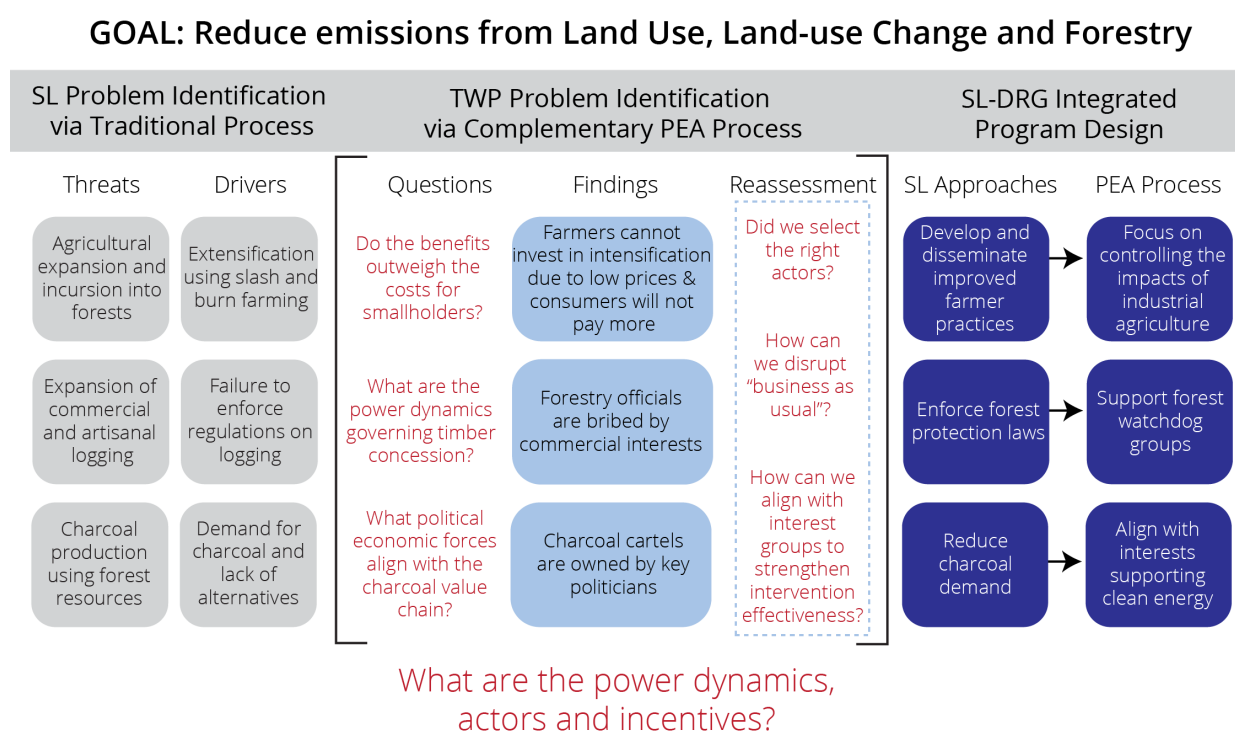


about systemic change. For further consideration, Annex 5 provides a worksheet that walks through key considerations for an integrated situation model or analysis.

TWP can be used to help frame or complement a situation model or analysis by critically examining causal linkages and feedback loops. It can help clarify relationships among stakeholders and affected groups and help explore different implementation scenarios or project directions.

Figure 4 provides an example of a TWP-informed situation analysis. Situation analyses identify threats, drivers, and potential SL approaches to use in a program's design. TWP can then further inform the situation analyses by adding questions, findings, and reassessment (possibly based on a PEA). These can lead to modifying SL approaches using recommendations generated by the PEA.

*Figure 4: Example TWP-Informed Situation Analysis*



## 4.3 Crafting Integrated Theories of Change

Approaches can be depicted as a results framework, which includes statements defining the necessary and sufficient actions needed to achieve a result, or in a results chain, which lays out hypothesized steps toward achievement of the result.

A TOC underpins each strategic approach, hypothesizing how activities, investments, and their outcomes will achieve the desired result(s). The more explicit the TOC, the better for gauging progress and learning. For SL-DRG integration, this means theorizing how particular interventions and investments will impact key stakeholder groups, and how they and other key actors may react and respond.

Reflecting on Figure 4, consider how a “standard” TOC could be modified through TWP:

Standard	To address the threat of deforestation from agricultural incursion into forests: IF we provide technologies to transform shifting cultivation AND develop land use plans to reduce agricultural incursion, THEN deforestation and GHG emissions will be reduced.
TWP-inspired	IF we engage a broad national constituency concerned about corruption and loss of state revenue from illegal and unregulated resource extraction AND link such efforts to sustained integrated support to environmental defenders and local communities seeking to stem natural resource degradation, THEN deforestation and GHG emissions will be reduced at scale. See this example of an initiative from <a href="#">The Center for People and Forests</a> (RECOFTC) (2019).

The illustrative USAID approaches to integration identified in this guide contain implicit TOCs. Sample questions to think through while developing a TOC for these approaches include:

- ▶ For co-designed approaches: How exactly will improving each specific DRG-relevant process (such as rule of law, information access, or citizen voice) change decision-making for land and forest management? What DRG and/or SL outcomes will change? In what timeframe?
- ▶ For approaches incorporating DRG tools and expertise: What exact plan, advice, or point of leverage or stakeholder focus came out of using DRG tools and expertise? How exactly will those change activities? How will those change outcomes? How will you know if newly incorporated activities add value compared to a course of action that did not take into account ideas coming out of DRG tools and expertise?
- ▶ Natural resource governance approaches: How exactly will any improved governance or green economic opportunities lead communities to improve natural resource management in a way that influences SL outcomes? What assumptions about policy and regional context or market context are being made?

## 4.4 Testing Your TOC

### ***Develop Outcome Measures, Not Only Process Indicators***

Hypothesizing and measuring outcomes, which describe advances toward the objective or result, is critical, but given the complexity of socio-ecological systems, it is difficult to forecast outcomes. Process indicators, or outputs, show that there have been actions taken but do not necessarily reveal how these actions lead to a result. A MEL plan that only tracks standard and process indicators will be inadequate to understand how project actions impact results.



*Ensure that programs develop tailored outcome measures to see progress toward results suitable to the local context and program specifics. See Textbox 1 for helpful resources. Remember that not all changes have linear consequences (see Section 4.2 on how TWP can help think through feedback loops and other non-linear relationships). In these cases, [complexity-aware monitoring](#) can be deployed to monitor outcomes (USAID, 2018a). Note that CLA encourages good process documentation and the use of narratives to describe actions, context, and outcomes. Also see the system tools mentioned in Annex 2, which can be applied at a project level.*

### **Resources to Help Monitor Context**

Environmental governance is the “canary in the coal mine” of DRG performance. When corruption and mismanagement expand in this sector, it can foreshadow impacts in DRG interest areas such as elections, peace and security, human rights, and civil society strengthening. Thus, incorporating metrics related to environmental governance can provide DRG officers with valuable insights (Worker & De Silva, 2015).

Global databases such as the World Resource Institute’s Environmental Democracy Index, Transparency International’s corruption index, WRI’s Global Forest Watch and Landmark (community tenure) maps can help DRG initiatives understand and incorporate environmental trends and context that impact outcomes.

### ***Integrated Indicators***

The types of processes and outcomes tracked by SL and DRG often differ in their focus. SL activities ultimately aim for a biophysical result (GHG emissions reduction) and describe how technical factors and causal chains both inhibit and support the achievement of that result. DRG, in contrast, implements programs to impact the agency and incentives of actors embedded in institutional and social structures. DRG activities seek societal results such as stronger civil society, greater respect for human rights, and more effective government as ends in themselves, and not only as a means to achieve a technical result.



***“The best solution from a biophysical point of view may not work...how to have the greatest SL impact is part of the issue... governance and social science can work together to see the aggregate impact for development.”***

*– USAID SL Interviewee*

Relevant DRG-related indicators can be customized to emphasize areas of overlap and convergence with SL-relevant concerns regarding improved landscape governance. These indicators could range from the adoption of new laws and policies that further SL protection, to government release of SL-relevant data to the public, to the strengthening of CSOs that adopt new skills with which to address local SL degradation challenges. For example, as shown in Table 2, the Greening Prey Lang Project in Cambodia adopted a blend of SL and DRG-relevant indicators that, among other things, sought to track progress on Project Objective 3: strengthened inclusive and effective landscape governance. Note that all of these indicators, except possibly 3.6, focus on output rather than outcomes.

***Table 2: Landscape Governance Indicators from USAID/Cambodia***

**3.1.** Number of people that apply improved conservation law enforcement practices as a result of USG assistance.

**3.2.** Number of institutions with improved capacity to address sustainable landscape issues as supported by USG assistance. (EG.13-2)

**3.3.** Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance. (EG.11-6)

**3.4.** Number of institutions with improved capacity to assess or address climate change risks supported by USG assistance.

**3.5.** Number of people trained in sustainable landscapes supported by USG assistance. (EG.13-1)

**3.6.** Number of laws, policies, or regulations that address biodiversity conservation and/or other environmental themes officially proposed, adopted, or implemented as a result of USG assistance.

Source: USAID/Cambodia. Provided by Environment and Resilience Office, August 6, 2019.

## 4.5 Evaluating Integrated Projects

TOCs embedded in strategic approaches are useful only if they can be tested. In the case of integrated SL-DRG approaches, a MEL plan needs to not only develop process indicators and outcome measures but also design and plan evaluations. There are two broad categories of evaluations: performance evaluations, which can provide a range of feedback on program activities' output and outcomes, and impact evaluations, which attempt to rigorously prove whether or not an activity causes an outcome.

### *Performance Evaluations*

Strong engagement from SL and DRG technical staff is critical for evaluating integrated projects to ensure technical accuracy and embed learning from the evaluation across sectors. Ideally, evaluation questions are developed as part of the MEL plan and center on testing the TOC. Evaluating progress towards milestones is important in a midterm evaluation, but only to the extent that such milestones are clearly linked to outcomes and ultimately achievement of objectives within the TOC.

An example performance evaluation of an integrated project is the final evaluation of the Faisons Ensemble project in Guinea. This project was an ambitious attempt at integration around a DRG theme in the mid-2000s after the failure of various programs that did not take governance into account. The USAID Mission developed one Strategic Objective (SO), “Advancing Democratic Governance,” that integrated DRG, Health, Education, Forestry, and Agriculture under the rubric of the [Fragile States Strategy](#), an effort to plan interventions based on the effectiveness of governance and, particularly, the ability of states to deliver services (USAID, 2005).

An integrated team from USAID was deployed to carry out the [final evaluation](#) due to the desire to learn from this innovative approach. The evaluation asked to what extent integration advanced systemic democratic change and whether approaching other sectors through democracy and governance-oriented interventions was effective. The assessment found that, although impact was limited for agriculture and natural resource management due to shorter implementation timeframes, nonetheless “the integration of political reform and social service delivery proved to be mutually reinforcing...there is evidence that the project did help strengthen some forest management groups and producer associations, principally in the Forest Region” (Charlick et al., 2011).

### *Impact Evaluations*

Impact evaluations are the most rigorous way to discern if a project was responsible for achieving any observed outcomes, rather than some other project or process happening at the same time. They require comparing a unit of analysis—say, a landscape or group of people—that was part of a project (the treatment) to a similar one that was not (the control).

For example, an impact evaluation of Liberia’s Community Land Protection Program (CLPP) from 2014 to 2017 tested the idea that in rural areas, improved legal empowerment and community land documentation would lead to improved perceptions of tenure security and trust in local leadership.

In turn, these governance-oriented results would lead to more conservation and sustainable natural resource use, as communities would feel less concern over land expropriation. The evaluation conducted a survey of 818 households across 57 communities before and after the program and with and without the treatment. It found striking results, especially in improved trust in local governance. It also found evidence that communities did change agricultural use of community land, with more women planting rice and fewer men using community land for personal or household cash crop production. To better understand overall changes in conservation farming or other sustainable natural resource use would have required a longer time frame for evaluation, as well as information on agricultural use of private plots. The CLPP evaluation also points to the difficulty of maintaining rigorous impact evaluations—due to Ebola, some of the most remote communities, especially those in the control, dropped from the study. As a result, the remaining communities in the study are less similar than they were at start of the evaluation (Marple-Cantrell, Huntington, Ewing, & Hartman, 2017).

## 4.6 Learning and Adapting

As part of a learning agenda, an integrated team can formulate learning questions that focus on the political and economic dimensions of strategic approaches and their underlying TOC, homing in on key assumptions about stakeholder incentives and motivations within the TOC.

Learning what did or did not work from evaluations and monitoring is vital to adapting programs for greater success over time. Especially for integrated projects that may have multiple subject areas to evaluate along with the relationships among various project components, ensure that evaluation timelines will provide information that can be used for adaptive management and future planning.

Learning is a continuous process throughout the program cycle and is part of both MEL and CLA. As formal evaluations are often conducted after there are considerable sunk costs in operationalizing approaches, it is wise to consider commissioning assessments at different stages. In initial stages, a pre-feasibility study may be necessary. USAID/Colombia is carrying out such studies to inform attempts to scale up successful SL initiatives. The focus is to better understand how differences in institutional structure among existing and new beneficiary groups may impact the scale-up process. PEA assessments may be needed at different stages of a project to probe implementation challenges (as in the case of LESTARI) or understand the incentives and motivations of new project partners such as the private sector.











# Annex 1: Crosswalk of SL and DRG Terms

DRG Term	Translation for SL	Examples of Use in SL Activities
Participation, Inclusion, Transparency, and Accountability (PITA)	Methods for DRG integration that will improve overall program outcomes. See Section 1.2.	<p>Participation: Engaging communities in the development of forest management plans.</p> <p>Inclusion: Ensuring gender equity in forest management policy through working with CSOs and local governments.</p> <p>Transparency: Establishing forestry data management tools with real-time access for planning and monitoring.</p> <p>Accountability: CSOs holding government accountable for equitable natural resource management (Social Impact &amp; RTI International, 2016).</p>
Political economy analysis (PEA)	Analytical approach to understand underlying causes and to identify the incentives and constraints impacting the behavior of stakeholders in a relevant system. See Section 1.2.	<p>Questions as part of a PEA analysis might include:</p> <ul style="list-style-type: none"> <li>• What are the power dynamics governing timber concessions?</li> <li>• What political or economic forces align with the charcoal value chain?</li> </ul>
Thinking and Working Politically (TWP)	The operationalization of PEA findings allows for a CLA process of adapting programs to context through an ongoing process of testing and learning. See Section 1.2.	In an effort to reduce charcoal demand, the process of a PEA might identify that charcoal cartels are owned by key politicians. While the SL program may be designed to reduce charcoal demand, the TWP approach might be to align with interests that support clean energy.
Rule of law	A principle of governance in which all persons, institutions, and entities, both public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced, and independently adjudicated, and which are consistent with international human rights principles (USAID, 2008).	Rules governing the boundaries, authorities, and management of community forests are designed and applied in a transparent, equitable manner and enforced impartially through accountable institutions, including an independent judiciary.



DRG Term	Translation for SL	Examples of Use in SL Activities
Judiciary strengthening	A term encompassing a variety of financial, management, accountability, efficiency, and transparency initiatives to promote the effectiveness, impartiality, and structural independence of courts and other state-supported tribunals to adjudicate disputes between individuals and among individuals and organizations (both public and private).	<p>Although many disputes involving land and landscape management may be handled informally or through certain sanctioned mediation and arbitration mechanisms, these often must be supplemented by and operate effectively “in the shadow” of strong and effective formal judicial institutions, such as courts and independent, administrative tribunals. If customary systems are outside the judicial system or at odds with it, there is potential for confusion and elite capture.</p> <p>Alternative dispute resolution (ADR) mechanisms can be established, keeping in mind the existing customary rules that govern the resolution of land disputes. Land disputes that cannot be addressed through ADR could be resolved in courts, although the procedures can be expensive and legal services may not be available.</p>
Civil society strengthening	Support to provide an enabling environment for CSOs and independent media “to develop free from governmental constraints on the fundamental freedoms of association, assembly, and expression” (USAID, 2019d). This encompasses legal and regulatory reform efforts as well as capacity-building for CSOs (see “capacity-building”).	Civil society could be strengthened via joint DRG-SL activities with varied CSOs such as environmental defense groups, indigenous peoples’ organizations, agricultural collectives, and general environmental NGOs.
Human rights	Human rights are freedoms established by custom or international agreement that impose standards of conduct on all nations, and that are distinct from civil liberties, which are freedoms established by the law of a particular state and applied by that state in its own jurisdiction.	While civil and political rights are “liberty-oriented” (e.g., rights to life, liberty, and security of the individual, as well as freedom of opinion, expression, thought, conscience, religion, and assembly), and while economic, social, and cultural rights are “security-oriented” (e.g., rights to work, education, and health care), there are so-called “third generation” solidarity rights (which often are said to include the right to be able to live in an environment that is clean and protected from destruction) that are the most debated and that commonly lack both legal and political recognition.

DRG Term	Translation for SL	Examples of Use in SL Activities
Rights-based approach	A conceptual framework that is rooted in international human rights standards and operationally directed to promoting and protecting human rights.	Supporting environmental defenders in protecting their lands and resources entails using a rights-based approach, recognizing that a clean environment is a human right and protest and activism should not lead to harsh punishment or death.
Indigenous people rights reinforcing the UN Declaration on the Rights of Indigenous Peoples (UNDRIP)	Specific set of human rights that safeguards the individual and collective rights of indigenous peoples.	Community and indigenous lands need clear tenure security. Governance structure and local control of indigenous and community forests is a key component to the success of payment for ecosystem service programs such as REDD+.
Conflict management and mitigation (Do No Harm)	Principle dictates that peacebuilding interventions must not put those living in violent contexts at greater risk than they would otherwise face without the intervention (USAID, 2018d).	
Conflict assessment framework	An assessment to analyze the dynamics in a country that are leading to instability or conflict.	A conflict assessment process would identify what land tenure issues might exist in forests and within the broader conflict context (illegal logging or poor governance and economic policies) and suggest how other key drivers of conflict may influence land tenure and vice versa (USAID, 2012a).
Climate change and conflict	Climate change mitigation and adaptation efforts can increase the risk for conflict over forests and land.	Governance policies and measures that impact tenure and land rights are linked with efforts to reduce deforestation and forest degradation through the REDD+ initiative. As more claims over forests and land are being made, there are often clashing views on how resources should be managed and used.

DRG Term	Translation for SL	Examples of Use in SL Activities
Governance	<p>Governance is a broad concept that refers to the processes, norms, and rules by which certain segments of society or influential actors wield power and adopt policies that affect human and institutional interactions, including economic and social development. High quality governance means governance that is transparent, efficient, and effective, and ensures the well-being of all citizens. See Section 1.2.</p>	
Democracy	See Section 1.2.	
Capacity-building or capacity development	<p>The OECD definitions are:</p> <ul style="list-style-type: none"> <li>• “Capacity” is the ability of people, organizations, and society as a whole to manage their affairs successfully.</li> <li>• “Capacity development” is understood as the process whereby people, organizations, and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time.</li> <li>• “Promotion of capacity development” refers to what outside partners—domestic or foreign—can do to support, facilitate, or catalyze capacity development and related change processes (USAID, 2017).</li> </ul> <p>Developing capacity means not only training organizations in best practices, but also considering an organization’s fit to local systems and developing capacity at the system level (USAID Learning Lab, 2017).</p>	

SL Term	Definition
Sustainable Landscapes	See Section 1.1.
Natural climate solutions (NCS)	Natural climate solutions are protection, restoration, and improved land management actions that increase carbon storage and/or avoid GHG emissions across global forests, wetlands, grasslands, and agricultural lands (Griscom et al. 2017; Griscom et al. 2020).
Greenhouse gas emissions (GHGs)	<p>“Gases that trap heat in the atmosphere are called greenhouse gases. They trap heat by absorbing infrared radiation (heat energy) from the Earth’s surface and reradiating it back to the surface” (Mann, 2019).</p> <p>“The main greenhouse gases include: carbon dioxide, methane, nitrous oxide, and fluorinated gases” (Environmental Protection Agency, n.d.).</p>
Climate change, global warming, and weather	<p>“Climate change refers to significant changes in global temperature, precipitation, wind patterns, and other measures of climate that occur over several decades or longer” (University of California Davis, n.d.).</p> <p>“Climate change is currently occurring throughout the world as a result of global warming. Global warming is an increase in the planet’s overall temperature due to the burning of fossil fuels, such as natural gas, oil, and coal... [causing greenhouse gas emissions]” (National Geographic Society, 2019).</p> <p>“Weather is the state of the atmosphere at a particular location over the short-term” (National Ocean and Atmospheric Administration, 2019).</p>
Reducing Emissions from Deforestation and Forest Degradation plus (REDD+)	<p>“[REDD] is a framework [originated by the U.N.] through which developing countries are rewarded financially for any emissions reductions achieved associated with a decrease in the conversion of forests to alternate land uses” (REDD Desk, 2016).</p> <p>“At the core of this work are forests and the fundamental role they play in climate change mitigation, by removing CO2 from the atmosphere and storing it in biomass and soils. This also means that when forests are cleared or degraded, they can become a source of greenhouse gas (GHG) emissions by releasing that stored carbon” (Food and Agriculture Organization, 2019).</p>
Monitoring, Reporting, and Verification (MRV)	<p>MRV is a framework for measuring, reporting on, and verifying efforts to address climate change, at both the national and transnational level (United Nations Climate Change Secretariat, 2014).</p> <p>MRV is used to strengthen trust of climate finance donors (German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety, n.d.). It also provides proof necessary to receive carbon credits from carbon trading.</p>
Community forestry	Community forestry refers to a spectrum of activities of forest-dwelling communities. It often includes organizing local people in forestry activities that fulfill local needs, generate income, or conserve forests (Food and Agriculture Organization, n.d.-a).



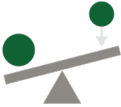





SL Term	Definition
Sustainable forest management	“Sustainable forest management addresses forest degradation and deforestation while increasing direct benefits to people and the environment. At the social level, sustainable forest management contributes to livelihoods, income generation, and employment. At the environmental level, it contributes to important services such as carbon sequestration and water, soil, and biodiversity conservation” (Food and Agriculture Organization, n.d.-b).
Peatlands	<p>Peat is a mix of plant material at different stages of decomposition that wetland habitats grow upon (that is, habitats adapted to constant or seasonal water saturation and low oxygen). They accumulate extremely slowly. The peat and wetland together are called peatlands (colloquially sometimes called bog or mire). Around 30 percent of the world’s soil carbon is stored in peatlands (Craft, 2016).</p> <p>These ecosystems are extremely valuable for combating climate change because they are the largest natural terrestrial carbon store. “They are critical for preserving global biodiversity, provide safe drinking water, minimize flood risk, and help address climate change” (The International Union for Conservation of Nature, n.d.).</p>
Land Use Change and Forestry (LUCF)	“The United Nations Climate Change Secretariat defines Land Use Change and Forestry as a ‘greenhouse gas inventory sector that covers emissions and removals of greenhouse gases resulting from direct human-induced land use such as settlements and commercial uses, land-use change, and forestry activities’” (United Nations Framework Convention on Climate Change, n.d.).
Clean energy	<p>“Renewable energy generates electricity from sustainable sources like wind, solar, and geothermal power with little or no pollution or global warming emissions” (Union of Concerned Scientists, 2017).</p> <p>“GHG net emissions/removals by LUCF refers to changes in atmospheric levels of all greenhouse gases attributable to forest and land-use change activities, including but not limited to (1) emissions and removals of CO<sub>2</sub> from decreases or increases in biomass stocks due to forest management, logging, fuelwood collection, etc.; (2) conversion of existing forests and natural grasslands to other land uses; (3) removal of CO<sub>2</sub> from the abandonment of formerly managed lands (e.g. croplands and pastures); and (4) emissions and removals of CO<sub>2</sub> in soil associated with land-use change and management” (World Resources Institute, n.d.-a).</p>
Low emissions development (LED)	<p>“Though no formally agreed definition exists, LED Strategies are generally used to describe forward-looking national economic development plans or strategies that encompass low-emission and/or climate-resilient economic growth” (Clapp, Briner, &amp; Karousakis, 2010).</p> <p>It includes energy derived from renewable, zero-emissions sources (“renewables”), as well as energy saved through energy efficiency (“EE”) measures (North Carolina Sustainable Energy Association, n.d.). Note that charcoal comes from a renewable source (trees and shrubs) but is not a “clean” energy source.</p>

SL Term	Definition
Tropical Forest Alliance (TFA) 2020	“The Tropical Forest Alliance 2020 (TFA 2020) is a global public-private partnership in which partners [usually major companies] take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities such as palm oil, soy, beef, and paper and pulp” (Tropical Forest Alliance 2020, n.d.).
<a href="#">Climate risk assessment</a>	“Impact and vulnerability assessments provide an important basis for the identification of adaptation requirements as well as analyses of loss and damage. Through assessing the implications of impacts at different levels of warming, we gain a better understanding of the implications of different emission pathways” (Climate Analytics, n.d.).
Ecosystem-based management	“Ecosystem-based management (EBM) is an integrated management approach that recognizes the full array of interactions within an ecosystem, including humans, rather than considering single issues, species, or ecosystem services in isolation” (National Ocean and Atmospheric Administration, n.d.)
Doing Development Differently	<p>The Doing Development Differently manifesto pledges to apply principles-based efforts within the field of development. The manifesto states, “successful initiatives that apply these principles do the following:</p> <ul style="list-style-type: none"> <li>• They focus on solving local problems that are debated, defined, and refined by local people in an ongoing process.</li> <li>• They are legitimized at all levels (political, managerial, and social), building ownership and momentum throughout the process to be ‘locally owned’ in reality (not just on paper).</li> <li>• They work through local conveners who mobilize all those with a stake in progress (in both formal and informal coalitions and teams) to tackle common problems and introduce relevant change.</li> <li>• They blend design and implementation through rapid cycles of planning, action, reflection, and revision (drawing on local knowledge, feedback, and energy) to foster learning from both success and failure.</li> <li>• They manage risks by making ‘small bets’: pursuing activities with promise and dropping others.</li> <li>• They foster real results—real solutions to real problems that have real impact: they build trust, empower people, and promote sustainability” (Harvard University, 2014).</li> </ul>
Landscape-based approach	<p>“As such, an agreed understanding on what such ‘landscape approaches’ represent conceptually or actually look like on the ground remains elusive... Center for International Forestry Research and partner institutions described 10 principles that characterize such an approach. These 10 principles emphasize adaptive management, stakeholder engagement and dialogue, and multiple objectives” (Sunderland, 2014).</p> <p>“‘Landscape approaches’ seek to provide tools and concepts for allocating and managing land to achieve social, economic, and environmental objectives in areas where agriculture, mining, and other productive land uses compete with environmental and biodiversity goals” (Sayer et. al, 2013).</p>
Situation analysis/ model	Situation analysis or modeling uses systems tools (such as systems mapping) to analyze direct threats and political and economic drivers impacting on the target site(s) or on policies and practices. It helps project teams grasp the forces impacting the objectives and how these forces may be connected to each other (Section 4.1).

SL Term	Definition
Results chains	“Results chains visualize and graphically depict the causal logic of the strategic approaches and preliminary results within a theory of change. Results chains can be further elaborated to define elements of a monitoring, evaluation, and learning (MEL) plan that promotes measurable and practical mechanisms for project learning and adaptation” (USAID, 2018f).
FAA 118/119	<p>“Sections 118 and 119 of the FAA of 1961, as amended, and ADS 201 guidelines for activities. These require that USAID Missions’ country development strategy or other country plan address the following:</p> <ul style="list-style-type: none"> <li>• FAA Sec 118 Tropical Forests—the actions necessary in that country to achieve conservation and sustainable management of tropical forests, and 2) the extent to which the actions proposed for support by the Agency meet the needs thus identified.</li> <li>• FAA Sec 119 Endangered Species—the actions necessary in that country to conserve biological diversity, and 2) the extent to which the actions proposed for support by the Agency meet the needs thus identified” (USAID, 2018b).</li> </ul>

# Annex 2: Systems Tools

Systems tools have been extensively used in big-picture USAID environment and DRG planning and activities. At the Agency level, the USAID [local systems community of practice](#) has collected a substantial body of tools and concepts to foster systems thinking and analysis both above and within the project level. A common feature of these tools is that they depict complex relationships among development variables, often in visual formats, to identify:

	Concept or Tool	Importance for SL-DRG
	<b>Leverage points</b> identify where actions will have the most impact.	Helping to identify which drivers, and the people/institutions behind them, are the most critical for achieving results.
	<b>Convergence points</b> reveal common concerns and issues across sectors and stakeholders.	Identifying common concerns across environment and civil society actors and institutions.
	<b>Causal links</b> between immediate threats or problems and root causes and drivers.	Targeting drivers and the actors behind drivers, not just direct threats.
	<b>Social networks for scaling up</b> such as used in <a href="#">System-wide Collaborative Action for Livelihoods and Environment</a> (SCALE). SCALE encourages planners to consider the scale needed to achieve results from the outset, rather than setting up pilots and trying to scale up.	This approach is relevant to SL-DRG integration when considering what scale is necessary to achieve emissions reductions targets and how to achieve that scale through stakeholder identification and mobilization. The <a href="#">SCALE checklist</a> can be usefully applied to strategic planning for SL-DRG integration.
	<b>Relationships between people and ecosystems</b> describes how human actions impact natural systems and ways that natural system change impacts people and societies.	Showing how governance forms, institutions and policies change ecosystems and vice versa.
	<b>Feedback loops</b> depict how an action does or can create a reaction that shifts the natural or social system or both.	Considering ways that different interest groups will react to policies and program interventions.

Section 4 describes ways to use situation analysis and modeling with PEA/TWP to make system connections.



# Annex 3: DRG Links to SL Technical Themes

## Worksheet 1: DRG-SL Technical Linkages

Technical Theme	Link to DRG	Case Example
Reducing emissions from mangroves	Overlapping governance jurisdictions in these areas hamper sound management and may inhibit local engagement due to confusion about rules and authorities.	USAID's WABICC project is working to harmonize policies and regulations across ministries in coastal West African countries. A PEA could illuminate what ministries may gain or lose with any shifts in jurisdiction.
Monitoring, Reporting and Verification (MRV) and nationally determined contributions (NDC) policy frameworks	Differing stakeholder priorities that inform NDCs may reflect power dynamics between regions and lead to contested and suboptimal commitments.	In Mexico, USAID is grappling with the Government of Mexico's policy priorities that go against SL objectives, such as subsidizing cattle for farmers. Focusing on other value chains is one solution, as well as aligning with groups that have a conservation objective. Building a coalition could tip the scale toward reforming policies.
The impact of commodity value chains, e.g., fuelwood and charcoal consumption	Charcoal production fueling, and fueled by, conflict and inadequate management regimes leading to both high levels of deforestation and danger to citizens.	In DRC, USAID partners have worked extensively on technical approaches to reduce charcoal impact, such as improved cookstoves, but security issues have limited the ability to tackle conflict-fueled charcoal. New efforts to address root causes of conflict may make a difference, but monitoring is needed to see if this approach can reduce deforestation.
Deforestation-free commodity chains	Countries creating "new standards" that do not fit with international norms and create conflict among stakeholders as well as potentially fostering corruption.	The Indonesian government created its own standard for oil palm development, rather than adopt the global standard. USAID has focused on overall land-use decision-making. Teasing out the risks and benefits of either standard approach to different elements of the private sector will yield insights.
Your own example!	What are the key governance issues in your technical area(s)?	How are they being addressed, and what could be done better with DRG expertise, tools, and insights?

# Annex 4: Choosing the Most Appropriate Design Structure and Mechanism(s)

Getting the technical elements right is not the only concern in integrated design. Considerations of country context, how to package the ideas into the right implementation instrument, and what groups can be most effective in executing the project are also crucial.

## ***What Is the Enabling Environment?***

The political, economic, and social enabling environment structures what can be done in the shorter term, and what might take considerable time to achieve. Under authoritarian rule and “politically closed space,” activism is dangerous and civil society may be severely curtailed. In some countries, the political climate may be saturated with corruption, but limited activism is permitted. Still other areas have persistent levels of high poverty, limiting mobility and choice. Populations may be vulnerable to terrorists and militias. These and other critical contextual variables shape entry points and modes of integration. But integration in itself opens up more options; for example, working on governance in an environment project may be less politically sensitive than projects advocating directly for democratic reform. It may also strengthen local capacity to take on wider issues.

## **Worksheet 2: What Project Structure Is Best Suited to Achieving Integrated Results?**

USAID provides a diversity of project structures and procurement mechanisms. Final decisions on mechanisms are typically made by Mission/Operating Unit (OU) leadership and the Office of Acquisition and Assistance (OAA), but it is critical for teams to clearly define the results they want and consider design and procurement options. The following are points to consider in choice of structure and mechanism for integrated projects:

- ▶ What streams of funding are being used and how will they shape the project structure? For instance, if SL is integrated with biodiversity (and DRG), the biodiversity earmark requires funding to “impact on an area of significant biodiversity.” Reporting on GHG emissions is required under SL funding, so in integrated projects, you must consider how DRG actions translate into biophysical impacts.
- ▶ Can the Mission or unit put together a truly integrated design and implementation team?
- ▶ Who will manage the contract or award? Is there potential for co-management?
- ▶ Is a co-creation process possible and desirable? If so, how will potential project proponents be identified and engaged across sectors?

- ▶ How important is achieving site-level results? How many sites or locations are involved? How important is it that they coordinate (for policy impact and learning)? Are sites defined by geography or jurisdiction? This question relates to how governance institutions will interface with the sites.
- ▶ Does the OU have a central M&E mechanism that could provide cross-site and/or cross-sectoral analysis and learning? If not, how will that need be met?
- ▶ How much flexibility is needed and how important is adaptive management capacity (considering the enabling environment issues noted above)? Modifying a contract can be difficult; making significant modifications can be impossible.
- ▶ What level of oversight is needed to ensure achievement of results? A grant, cooperative agreement, IAA, or PIO provide more limited opportunities for USAID oversight than a contract.

## ***What Organizations Are Best Suited to Achieving Integrated Results?***

Both international and local NGOs have agendas that, if not overtly political, have political implications. For example, some NGOs may feel constrained from working directly on corruption for fear of being marginalized or removed from the country. Others may be linked to external advocacy groups, and they may or may not have a strong local constituency. Careful consideration of how these positions can advance or hinder SL objectives in the country context is important. An institutional analysis can help to uncover these agendas as well as the legitimacy and credibility of potential implementing partners.

Tapping into and networking existing groups, as is recommended in the [USAID SCALE](#) approach cited above, can be more efficient and impactful than creating groups and networks (Hilbruner & Booth, 2017). A TWP lens may reveal groups and networks that do not have the explicit function of reducing emissions, but that have developed social capital and trust and can be highly effective interlocutors. For instance, civil society and advocacy groups that promote transparency and accountability can be important partners that engage diverse sectors of society. [Environmental justice](#) is an important organizing framework for efforts that focus on reducing the impacts of environmental degradation on poor and marginalized communities (Environmental Protection Agency, 2019).

Additional questions include:

- ▶ How important is local capacity-building and what (types of) organizations have demonstrated effective capacity-building approaches across sectors?
- ▶ How important is policy dialogue and what (types of) organizations have demonstrated effective policy dialogue approaches across ministries and with civil society?

## Working Across Ministries

While many SL projects work largely or only with the Forestry or Environment ministries, power often rests in ministries of Finance, Planning, Infrastructure, Agriculture, Mines, or Land. How do you influence them, or better yet, work with them? Are there DRG-informed approaches that can make those linkages? What Ministries and Agencies do DRG colleagues work with and how can they support project objectives?

An important first step is to know what is planned within ministries, ideally mapping their activities and influence over land and resource use decisions. To address this issue, the Government of Indonesia created an initiative called “**One Map**” that seeks to reduce conflict by clarifying land use decisions (World Resources Institute, n.d.-b). WRI Indonesia assembled a team of GIS experts, lawyers, conflict specialists, and researchers to work with communities across four provinces that has resulted in more than 70 thematic maps. While this process has been challenging and time-consuming to create, such a resource that covers all allocated and planned land uses is worthwhile because it promotes dialogue among ministries and can yield insights into how decisions are made and the power relations behind them.

The Greening Prey Lang project worked across ministries, which helped improve coordination on illegal logging enforcement. PEA can uncover which ministries hold relative power and influence, and potentially also describe groups and individuals within ministries and government agencies who can inhibit or support project objectives.



# Annex 5: Worksheet for Situation Analyses of Integrated Projects

## **Worksheet 3: Developing a Situation Analysis for Integrated Projects**

To help develop a situation model, think through the following questions:

- ▶ What are the target areas and objectives?
- ▶ How are these determined with respect to the major pressures and threats in the country, as well as the evolving political context?
- ▶ What was learned from strategic planning processes, research, and project experience about context and specific integrated approaches?
- ▶ What are the main design parameters (see Annex 3)?
- ▶ How will actions be linked and sequenced to achieve the result(s)? What are the major assumptions about how integration will work? How can these be developed into a learning plan?

# Annex 6: Insights from Research

Scholars in integrated disciplines such as agrarian studies, human ecology, and [political ecology](#), as well as research into coupled human-natural systems—as discussed above under systems tools—have created a body of knowledge concerning how political-economic relations shape land and forest management and thus generate biophysical impacts (Carter et al., 2014). Examples of research questions and insights that could be synthesized and disseminated to inform SL activities include:

## **How does governance at different levels shape conservation/sustainable land management outcomes?**

Perhaps the most important consideration is how laws, policies, decisions, and investments at the national level resonate at the local level, where action needs to take place. In some countries, investment in rural areas is very weak and there is little incentive for locals to learn about national policies or initiatives, much less to invest time in them. A recent [book](#) (Horning Rabeshala, 2018) focused on deforestation in Africa claims that deforestation persists because there is a lack of “interest alignment” among key actors at local, national, and international levels. Thus, understanding incentive and power structures at all levels is critical for developing effective strategies.

## **Why do good technologies often fail to achieve results?**

Political ecology studies can address questions about why the application of well-tested technical approaches and decades of investment are not halting deforestation. For instance, [Francis E. \(Jack\) Putz](#), a University of Florida professor and former USAID Jefferson Fellow, while [reflecting on work in Kalimantan, Indonesia](#) (Putz, 2018), described how deforestation rates were rising despite decades of technical forestry support. One insight is that “indigenous forest peoples” are not uniform in behavior and have diverse motivations. Some may prefer quicker gains from logging than the longer term (and communal rather than individual) benefits of sustainable forest management (Li, 2000). [Research](#) (Ohja et al., 2016) also shows that “community views” may be strongly shaped by external forces.

## **What management systems and incentives are effective under which circumstances?**

The work of Nobel Prize laureate Elinor Ostrom and her followers (including Arun Agrawal who was interviewed for this guide) can provide a clearer understanding of natural resource management systems and the incentive structures underpinning them that shape SL outcomes. For instance, they consider where decentralization and [common property NRM](#) is most effective, how local systems evolve, and the diversity of local management forms (Ostrom, 1990; Agrawal and Ostrom, 2001). Two key resources are the [International Forest Research and Institutions \(IFRI\)](#) database (“Community

Forest Management Portal,” n.d.) and papers from the [Forest and Livelihoods: Assessment, Research and Engagement \(FLARE\)](#) workshops. In terms of understanding incentives, the FLARE homepage features a [recent paper](#) (Jung and Polasky, 2018) examining the impact on deforestation of the Responsible Soy Project in the Amazon, finding that it had a positive impact on reducing deforestation overall, but especially among smallholders who were more credit-constrained.

### **How can private-sector partnerships and market-based approaches be more effective in achieving SL objectives?**

Development approaches that emphasize the private sector, the free market, and economic growth—often called “neoliberal” approaches—may not spur the collective political action required to address the drivers of GHG emissions. A [2017 paper](#) by Ciplet and Roberts argues that the neoliberal approach adopted by the UN Framework Convention on Climate Change (UNFCCC) does not spark local ambition and creates gaps in transparency, equity, and representation. Adopting PITA principles in SL activities can help fill such gaps. Strong participatory processes and being open about the incentives and abilities of actors will yield mutually beneficial partnerships with the private sector. The [Brookings Institution](#) presents approaches to foster inclusive economic growth that will support both climate change mitigation and equity objectives.

### **Why does understanding “discourse” matter for SL outcomes?**

The way people talk about problems and solutions is strongly linked to relations of power and influence. A [2017 paper](#) by DiGregorio et al. on environmental discourse and REDD+ found that “countries with less democratic political systems and large-scale private sector investments facilitate the adoption of reconciliatory ecological modernization discourse, which may not directly challenge the drivers of deforestation” (DiGregorio et al. 2017). In plain language, this means that when people talk about the market being the key mechanism to reducing deforestation or emissions, it is important to examine the interests behind this narrative. Of course, there are also interests, such as local NGOs, behind narratives about the importance of “community-based” solutions. PEA can help identify the interests and incentives behind how organizations and actors present climate change challenges and solutions.

### **How does history continue to shape policies and processes?**

Environmental degradation often has roots in historical land management systems dating to the colonial era (Kumar, 2010). Studying land history can reveal entrenched political economic structures that shape decisions about land and natural resources. For instance, the colonial concept of the Permanent Forest Estate persists in Indonesia, privileging state power over community control of forestland, with consequences for USAID’s long-term efforts to support community forestry (Contreras-Hermosilla and Fay, 2005).

### **And what can we do about it?**

The large-scale and long-term efforts depicted in Case Study A and Textbox 1 show how such long-standing power differentials can be challenged to create positive changes in land and forest management as well as in community well-being.

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## Annex 7: Key Informant List

This guide was informed by more than 50 interviews with various key informants spanning SL and DRG program areas, including USAID Washington, D.C. staff, USAID Mission-based staff, program implementers, researchers, advisors, and academics. It included high-level Mission staff in Madagascar, Indonesia, Zambia, Nepal, the DRC, Guatemala, and Cambodia. Academics and implementing partners ranged from US-, Kenya-, and Guinea-based informants. It included specialists from multiple sectors and chiefs of parties for key projects.

# Annex 8: Reference List

This annex provides a list of documents, including academic and USAID reference materials, that were cited or reviewed as part of the development of this guide. There are also various knowledge products that already exist with detailed analyses and examples of integrated activities.

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